

MEMORANDUM

To: File No.: S7-14-22
From: The Office of the Chair, U.S. Securities and Exchange Commission
Date: November 4, 2022
Re: Virtual Meeting with the Investment Company Institute

On November 4, 2022, Chair Gensler and SEC staff met with members of the Investment Company Institute to discuss SEC's proposed rules related to security-based swap execution and registration and regulation of security-based swap execution facilities, as outlined in the ICI comment letters: [March 21 comment letter](#); [May 16 follow-up letter](#).

Members of the SEC included:

- Chair Gary Gensler
- Heather Slavkin Corzo, Director of Policy
- Amanda Fischer, Senior Counselor
- Jessica Wachter, Chief Economist, Director of Division of Economic and Risk Analysis
- William Birdthistle, Division of Investment Management
- Renee Jones, Director of Corporation Finance
- Haoxiang Zhu, Director, Division of Trading and Markets
- Corey Klemmer, Corporation Finance Counsel
- Jacob Krawitz, Investment Management Counsel
- Heather Percival, Trading and Markets Counsel
- Keo Chea, Director of Public Engagement

Representatives from ICI included:

- **ICI**
 1. Eric Pan, President and CEO
 2. Sarah Bessin, Deputy General Counsel
 3. Nhan Nguyen, Assistant General Counsel
- **BlackRock**
 4. Michael Winnike, Director, Market Structure
 5. Waqaas Fahmawi, Director, Legal and Compliance
 6. Mbabazi Kasara, Director, Legal and Compliance
 7. David Rothenberg, Vice President, Legal and Compliance
 8. Samantha DeZur, Managing Director, Global Public Policy Group
- **Dodge & Cox**
 9. Glen Guymon, Senior Counsel
 10. Erin Kennedy, Senior Counsel
- **Goldman Sachs**
 11. Wendy Yun, Managing Director & Associate General Counsel
- **Neuberger Berman**
 14. Corey Issing, Managing Director and General Counsel
- **T. Rowe Price**
 15. Mehmet Kinak, Global Head of Equity Trading

16. John Siegel, Managing Legal Counsel & VP