

MEMORANDUM

April 25, 2023

TO: File Nos. S7-32-22; S7-31-22; S7-30-22; S7-29-22; and, S7-17-22

FROM: Robert Fisher
Office of Commissioner Mark T. Uyeda

RE: Meeting with Representatives of American Securities Association (“ASA”)

On April 25, 2023, Commissioner Mark T. Uyeda and his counsel, Robert Fisher, had a meeting with ASA. Commissioner Uyeda and the attendees met in person. The ASA representatives in attendance consisted of:

- Christopher A. Iacovella, President & Chief Executive Officer, ASA
- Kelli McMorrow, Executive Vice President and Head of Government Affairs, ASA

Among other matters, the participants discussed ASA’s comment letters filed in connection with Regulation Best Execution; Order Competition Rule; Regulation NMS: Minimum Pricing Increments, Access Fees, and Transparency of Better Priced Orders; Disclosure of Order Execution Information; and, Environmental, Social, and Governance Disclosures for Investment Advisers and Investment Companies.