

MEMORANDUM

TO: File Nos. S7-23-22

FROM: Elizabeth L. Fitzgerald, Assistant Director, Division of Trading & Markets

RE: Meeting with Intercontinental Exchange

DATE: March 29, 2023

On December 6, 2022, staff from the Division of Trading and Markets (TM) met with Tim Bowler, of the Intercontinental Exchange Group. The general topics discussed included Standards for Covered Clearing Agencies for U.S. Treasury Securities and Application of the Broker-Dealer Customer Protection Rule with Respect to U.S. Treasury Securities Fund Advisers.

Attendees from TM included: Haoxiang Zhu, Andrea Orr, Jeffrey Mooney, Roy Cheruvelil, Sharon Park, and Elizabeth Fitzgerald.