

MEMORANDUM

TO: File Nos. S7-23-22

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

RE: Meeting with SIFMA AMG

DATE: March 29, 2023

On March 28, 2023, staff from the Division of Trading and Markets (TM), the Division of Investment Management, and the Division of Economic and Risk Analysis (DERA) met with members of the Asset Management Group of the Securities Industry and Financial Markets Association (SIFMA AMG). 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 the Commission included: Haoxiang Zhu, Jeffrey Mooney, Roy Cheruvelil, Viktoria Baklanova, Robert Zak, Richard Hrvatin, Sharon Park, and Elizabeth Fitzgerald (TM), Sarah ten Sietoff, Trace Rakestraw, Holly Miller, and Kaitlan Bottock (IM), and Jessica Wachter and Burt Porter (DERA).

Attendees from the SIFMA AMG included: William Thum, Lindsey Keljo, and Andrea Salvador (SIFMA AMG); Darren Littlejohn, Mariam Sleiman, and David Martinez (Clifford Chance); Marta Poleszczuk (Wellington); Michele Kershaw (GSAM); Sue Hill and David Catalane (Federated Hermes); Blair Greber-Raines (PIMCO); Trent Jones and Christopher J. Cafiero (JPMIM); Samantha DeZur and Michael Winnike (Blackrock); Nishant Mehta (Janus Henderson); Robert Toomey (SIFMA); Jill Whitelaw (MSIM); and Michael Bridger (Credit-Suisse).