

MEMORANDUM

TO: File Nos. S7-23-22

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

RE: Meeting with Bank of America

DATE: March 29, 2023

On November 8, 2022, staff from the Division of Trading and Markets (TM) and the Division of Economic and Risk Analysis (DERA) met with staff from Bank of America. 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, Jeffrey Mooney, Sharon Park, Roni Bergoffen, and Elizabeth Fitzgerald. Attendees from DERA included Jessica Wachter, Juan Echeverri, Burt Porter, and Andrew Glickman.

Attendees from Bank of America included Mark Cabana, Managing Director, Senior Research Analysis, Rates and Currencies; Sonali Theisen, Managing Director and Lead, Trading Sector Desk; Ruth Arnould, Associate General Counsel and Managing Director, Fixed Income, Global Markets; Eric Kritcher, Associate General Counsel and Managing Director, Fixed Income, Global Markets; Janet Choi, Assistant General Counsel, Fixed Income, Global Markets; and Antonio White, Senior Vice President and Public Policy Engagement Executive, Federal Government Affairs.