

MEMORANDUM

TO: File Nos. S7-23-22

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

RE: Meeting with Securities Industry and Financial Markets Association

DATE: March 29, 2023

On February 16, 2023, staff from the Division of Trading and Markets (TM) met with members of the Securities Industry and Financial Markets Association (SIFMA). 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, Michael Macchiaroli, Thomas McGowan, Randall Roy, Ray Lombardo, Roy Cheruvelil, Viktoria Baklanova, Richard Hrvatin, Robert Zak, Sharon Park, Roni Bergoffen, and Elizabeth Fitzgerald.

Attendees from SIFMA included: Robert Toomey (SIFMA); Mark Cabana (Bank of America), C. Kule Russ (Goldman Sachs); Tyler Wellensiek (Barclays); Joseph Abate (Barclays), Toks Oyebode (JP Morgan); Peter Phelan (Citi); and Ken Bentsen (SIFMA).