

MEMORANDUM

May 4, 2023

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

FROM: Robert Fisher
Office of Commissioner Mark T. Uyeda

RE: Meeting with Representatives of Charles Schwab & Co, Inc. (“Schwab”)

On May 4, 2023, Commissioner Mark T. Uyeda and his counsel, Robert Fisher, had a meeting with Schwab. Commissioner Uyeda and the attendees met in-person. The Schwab representatives in attendance consisted of:

- John Roeser, Chief Counsel of Trading, Markets, and Operations
- Jeff Brown, Head of Office of Legislative and Regulatory Affairs
- Scott Eckel, Managing Director of Legislative and Regulatory Affairs

Among other matters, the participants discussed Schwab’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; and, Disclosure of Order Execution Information.