

MEMORANDUM

To: File Nos. S7-32-10; S7-08-22; S7-18-21

From: Rajal B. Patel, Senior Special Counsel, Office of Derivatives Policy, Division of Trading and Markets

Re: Meeting with representatives from HSBC

On Thursday, January 26, 2023, staff in the Division of Trading and Markets (including Carol McGee, Josephine Tao, Tim Riley, Patrice Pitts, James Curley, Elizabeth Sandoe, Theresa Hajost, Laura Compton, Brendan McLeod, Roland Lindmayer, Jesse Kloss, Laura Weber, Andrea Orr, William Miller, Rajal Patel, Richard Mo, and Pam Carmody), and staff in the Division of Economic and Risk Analysis (including Jessica Wachter, Richard Oliver, Jovan Stojkovic, and Y.C. Loon) held a meeting with Daniel Taylor, Jesse Beardsworth, Chris Dickens, and Jason Henderson of HSBC. The topics discussed were the following proposed rulemakings: *Prohibition Against Fraud, Manipulation, or Deception in Connection with Security-Based Swaps; Prohibition against Undue Influence over Chief Compliance Officers; Position Reporting of Large Security-Based Swap Positions; Short Position and Short Activity Reporting by Institutional Investment Managers; and Reporting of Securities Loans.*