

To: File No.: S7-02-22, S7-10-22, S7-12-22, S7-23-22, S7-31-22, S7-32-22  
From: Office of Public Engagement  
Date: 3/22/23  
Re: Meeting with Financial Services Forum

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On March 22, 2023, Chair Gensler and SEC staff met with the Financial Services Forum to discuss, among other matters, the following proposals:

- Amendments to Exchange Act Rule 3b-16 Regarding the Definition of "Exchange"; Regulation ATS for ATSS That Trade U.S. Government Securities, NMS Stocks, and Other Securities; Regulation SCI for ATSS That Trade U.S. Treasury Securities and Agency Securities;
- Enhancement and Standardization of Climate-Related Disclosures for Investors, including reporting of Scopes 1, 2, and 3, and a comparison to the climate reporting framework being developed in the European Union;
- Further Definition of "As a Part of a Regular Business" in the Definition of Dealer and Government Securities Dealer;
- 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;
- Regulation Best Execution and its application; and
- Order Competition Rule and its application.

Members of the SEC included:

- Chair Gary Gensler
- Amanda Fischer, Chief of Staff

Representatives from Financial Services Forum included:

- Ron O'Hanley, Chief Executive Officer, State Street, and Chair, Financial Services Forum
- Jane Fraser, Chief Executive Officer, Citi, and Vice Chair, Financial Services Forum
- Brian Moynihan, Chief Executive Officer, Bank of America
- Robin Vince, Chief Executive Officer, BNY Mellon
- David Solomon, Chief Executive Officer, Goldman Sachs
- Jame Dimon, Chief Executive Officer, JPMorgan Chase
- James Gorman, Chief Executive Officer, Morgan Stanley
- Charlie Scharf, Chief Executive Officer, Wells Fargo
- Kevin Fromer, Chief Executive Officer, Financial Services Forum
- Joe Barry, Senior Vice President and Global Head of Regulatory, Industry and Government Affairs, State Street
- Sean Campbell, Chief Economist and Head of Research, Financial Services Forum
- Tiffany Haas, Head of Government Affairs, Financial Services Forum
- Barbara Hagenbaugh, Chief Communications Officer, Financial Services Forum
- Chip Bartlett, Vice President of Government Affairs, Financial Services Forum