

To: File No.: SR-FICC-2024-005  
From: Office of Public Engagement  
Date: 8/7/24  
Re: Meeting with FIA

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On July 10, 2024, Chair Gensler and SEC staff met with the Board of the Futures Industry Association (FIA). The general topics discussed included proposals filed by the Fixed Income Clearing Corporation with the Commission as proposed rule changes SR-FICC-2024-005, SR-FICC-2024-007, SR-FICC-2024-009, and SR-FICC-2024-802. The discussion focused, in part, focused on the accounting implications of the various access models described in SR-FICC-2024-005.

Members of the SEC included:

- Chair Gary Gensler
- Amanda Fischer, Chief of Staff
- Natasha Greiner, Director of the Division of Investment Management
- Heather Percival, Trading and Markets Counsel

Representatives from FIA and the FIA Board included:

- Walt Lukken, President & Chief Executive Officer, FIA
- Jackie Mesa, Chief Operating Officer & Senior Vice President of Global Policy, FIA
- Allison Lurton, General Counsel, Chief Legal Officer, FIA
- Kyle Glenn, Vice President, US Government Relations, FIA
- Alicia Crighton (FIA Chair), Partner, Global Co-head of Futures and Head of OTC and Prime Clearing, Goldman, Sachs & Co. LLC
- Najib Lamhaouar (FIA Secretary), Global Head of OTC Clearing and ETD, HSBC Securities (USA) Inc.
- Eric Aldous (FIA Treasurer), Managing Director, Global Head of Futures, RBC Capital Markets LLC
- Gordon Alexander, Managing Director, Global Head of Workflow Solutions, Listed Derivatives and OTC Clearing, Fixed Income and Currencies (FIC), Deutsche Bank AG
- Tom Anderson, Senior Vice President, ADM Investor Services, Inc.
- Samina Anwar, Global Derivatives Operations Director, Cargill PLC
- Gerald F. Corcoran, Chairman & Chief Executive Officer, R.J. O'Brien & Associates, LLC
- Susan Gaughan, Managing Director, Chief Operating Officer Prime Services, Société Générale
- Tom Gillis, Managing Director, Head Funding and Liquidity Management, Global Exchange Traded Services (FCM), Wells Fargo & Company
- Helen Gordon, Managing Director, Global Head of Product Development and Strategy for Futures and Derivatives Clearing, J.P. Morgan
- Harris Kay, Partner, Davis Wright Tremaine LLP
- Nelson Neale, President, CHS Hedging LLC
- Stephane Pellerin, Head of Derivatives Execution and Clearing Americas, BNP Paribas Securities Services
- Jamila Piracci, Principal, Roos Innovations
- Mariam Rafi, Managing Director, Global Head of Clearing & FXPB Product & Platform, Citigroup Global Markets
- Jason Swankoski, Global Head of Strategy and Product, Derivatives Clearing, Morgan Stanley