

MEMORANDUM

TO: Files No. S7-27-15 and S7-05-23

FROM: Brandon Hill – Counsel to Commissioner Jaime Lizárraga – U.S. Securities and Exchange Commission

RE: Meeting with Representatives from Securities Transfer Association

DATE: May 30, 2023

On May 30, 2023, Jaime Lizarraga, Parisa Haghshenas, Laura D’Allaird, Diem-Mi Lu and Brandon Hill met with the following individuals:

- STA President - Peter Duggan, Executive Vice President-Equity Markets, Computershare
- STA Vice President - Steve Nelson, President & Chairman, Continental Stock Transfer & Trust
- STA Secretary - Margot Jordan, Chief Customer Officer, Equiniti/AST
- STA Executive Director - Melissa Cabocel

Among the topics discussed was the Commission’s concept release on Transfer Agent Regulations and proposed rule on Regulation SP: Privacy of Consumer Financial Information and Safeguarding Customer Information.