

MEMORANDUM

TO: File No. S7-02-22

FROM: Vivian Hui
Office of Market Supervision, Division of Trading and Markets
U.S. Securities and Exchange Commission

DATE: April 19, 2024

SUBJECT: Meeting with Representatives from the Asset Management Group of the
Securities Industry and Financial Markets Association (“SIFMA AMG”)

On April 19, 2024, representatives from the U.S. Securities and Exchange Commission (“SEC”) had a meeting with representatives from SIFMA AMG. The SEC representatives were Haoxiang Zhu, Eric Juzenas, Tyler Raimo, Yue Ding, Park Seoyeon, William Miller, Kyle Druding, Megan Mitchell, Eugene Hsia, David Garcia, Joanne Kim, and Vivian Hui from the Division of Trading and Markets, and Sai Rao and Heather Percival from the Office of the Chair.

The SIFMA AMG representatives were William Thum, Thomas Harte, Chris Cafiero, Chris Killian, Ellen Greene, Joe Corcoran, Jordan Beksha, Lindsey Keljo, Michael Beattie, Ray Mosca, Rob Toomey, Michael Winnike and A. Bouchard.

The discussion concerned, among other things, the SEC proposal concerning “Amendments Regarding the Definition of ‘Exchange’ and Alternative Trading Systems (ATSs) That Trade U.S. Treasury and Agency Securities, National Market System (NMS) Stocks, and Other Securities” [Release No. 34-94062] and “Supplemental Information and Reopening of Comment Period for Amendments Regarding the Definition of ‘Exchange’” [Release No. 34-97309].