

MEMORANDUM

To: File No. S7-04-23

From: William Middlebrooks, Counsel to Commissioner Hester M. Peirce

Re: Meeting with Representatives of the City of London Corporation

On 7 March, 2023, Commissioner Hester Peirce and William Middlebrooks, Counsel to Commissioner Peirce, met with the following individuals:

- *Chris Hayward, Policy Chairman, City of London Corporation*
- *Vivienne Artz, Chair, Data Committee, International Regulatory Strategy Group*
- *Kerstin Mathias, Director of Regulatory Affairs, City of London Corporation*
- *Duncan Richardson, Head of Global Trade Policy at City of London Corporation*
- *Mark Berman, Founder and CEO, CompliGlobe Ltd.*

The conversation touched upon the Commission's proposed rule on:

- *Safeguarding Advisory Client Assets*