

To: File No.: S7-04-23
From: Office of Public Engagement
Date: 8/25/23
Re: Virtual Meeting with Northern Trust

On August 24, 2023, Chair Gensler and SEC staff met with Northern Trust to discuss the Safeguarding Advisory Client Assets Proposal.

Members of the SEC included:

- Chair Gary Gensler
- Heather Slavkin Corzo, Director of Policy
- William Birdthistle, Director of the Division of Investment Management
- Corey Frayer, Senior Advisor
- Jay Krawitz, Investment Management Counsel

Representatives from Northern Trust included:

- Michael O'Grady, Chief Executive Officer
- Peter B. Cherecwich, President of Asset Servicing
- Howard Rapley, Global Product Lead, Securities Services
- Norah Guequierre, Senior Vice President, Associate General Counsel
- Kelly Dibble, Senior Vice President, Director of Public Affairs and Government Relations