

## MEMORANDUM

*September 13, 2023*

**TO:** File Numbers S7-04-23

**FROM:** Jacob D. Krawitz  
Policy Counsel, Office of the Chair

**RE:** Meeting with BNY Mellon

On September 13, 2023, Amanda Fischer, Corey Frayer, and Jacob Krawitz of the Chair's Office met with the following representatives of BNY Mellon:

- Jennifer Xi -- Deputy General Counsel & Global Head of Public Policy and Government Affairs)
- Nisha Wolff – Senior Director, Global Head of FX & Cash Custody Product Management
- Kevin Maloy – Managing Director, Senior Managing Counsel, Asset Servicing & Digital
- Peter Sullivan – Managing Director, Associate General Counsel, Investment Management
- Carl Woodhatch – Managing Director, Associate General Counsel, Investment Management
- Tiffany Eng – Managing Directory, Deputy Treasurer
- Steven Marino – Senior Director, Senior Managing Counsel, Public Policy & Government Affairs

The participants discussed the Commission's proposals relating to Safeguarding Advisory Client Asset, including the proposal's cash segregation requirements.