

MEMORANDUM

To: File No. S7-04-23
From: Ammon Simon, Counsel to Commissioner Hester M. Peirce
Re: Meeting with Paradigm

On September 27, 2023, Commissioner Hester Peirce and Ammon Simon, Sumeera Younis, and Richard Gabbert Counsels to Commissioner Peirce, along with Taylor Asher, Policy Advisor to Commissioner Mark Uyeda, met with the following individuals from Paradigm:

- Fred Ersham, Managing Partner
- Alex Grieve, Government Affairs

The general topics discussed included the Commission's proposed rules on *Safeguarding Advisory Client Assets*.