

MEMORANDUM

June 9, 2023

TO: File Nos. S7-05-23 and S7-06-23

FROM: Steven B. Levine
Office of Commissioner Mark T. Uyeda

RE: Meeting with Representatives of the Securities Transfer Association (“STA”)

On May 30, 2023, Commissioner Mark T. Uyeda and his counsels—Robert Fisher and Steven Levine—had a meeting with STA. Commissioner Uyeda and the attendees met virtually. The STA representatives in attendance consisted of:

- Peter Duggan, STA President and Executive Vice President-Equity Markets at Computershare
- Steve Nelson, STA Vice President and President & Chairman at Continental Stock Transfer & Trust
- Margot Jordan, STA Secretary and Chief Customer Officer at Equiniti/AST
- Melissa Cabocel, STA Executive Director

Among other matters, the participants discussed items that are addressed in STA’s comment letters that were filed in connection with the following proposals:

- Cybersecurity Risk Management Rule for Broker-Dealers, Clearing Agencies, Major Security-Based Swap Participants, the Municipal Securities Rulemaking Board, National Securities Associations, National Securities Exchanges, Security-Based Swap Data Repositories, Security-Based Swap Dealers, and Transfer Agents
- Regulation S-P: Privacy of Consumer Financial Information and Safeguarding Customer Information