

MEMORANDUM

To: File Nos. S7-32-10; S7-06-22
From: Office of Commissioner Caroline Crenshaw
Date: January 10, 2023
Re: Meeting with Professor Henry Hu of UT Austin

Commissioner Crenshaw, Robert Cobbs, and Claire O’Sullivan met with Professor Henry Hu of the University of Texas Law School.

The proposals on the Prohibition Against Fraud, Manipulation, or Deception in Connection with Security-Based Swaps; Prohibition against Undue Influence over Chief Compliance Officers; Position Reporting of Large Security-Based Swap Positions & Modernization of Beneficial Ownership Reporting were among the topics discussed.