

MEMORANDUM

October 4, 2023

TO: File No. S7-06-22

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

RE: Meeting with Representatives and Members of the Society for Corporate Governance (“SCG”) and the National Investor Relations Institute (“NIRI”)

On September 18, 2023, Commissioner Mark T. Uyeda and his counsels, Charles Lee and Steven B. Levine, had a meeting with SCG and NIRI. Commissioner Uyeda and the attendees met virtually. The SCG and NIRI representatives in attendance consisted of:

- Andrew Fitzsimons, Interim President and CEO, SCG
- Randi Morrison, General Counsel, SCG
- Ted Allen, VP, Policy & Advocacy, SCG
- Tony Richelieu, Vice President, Corporate Secretary and Associate General Counsel, KB Home
- Jared Brandman, General Counsel and Corporate Secretary, National Vision
- Ning Chiu, Partner, Davis Polk
- Robert Williams, Senior Vice President, IR, Dell Technologies
- Matt Brusch, President and CEO, NIRI
- Niels Holch, Partner, Holch & Erickson

Among other matters, the participants discussed SCG’s and NIRI’s comment letters submitted in response to the modernization of beneficial ownership reporting proposal.