

MEMORANDUM

December 13, 2023

TO: File No. S7-07-23

FROM: Robert Fisher
Office of Commissioner Mark T. Uyeda

RE: Meeting with Representatives of the Securities Industry and Financial Markets Association (SIFMA)

On December 13, 2023, Commissioner Mark T. Uyeda and his counsel Robert Fisher had a meeting with SIFMA. The attendees met virtually. The SIFMA representatives in attendance consisted of:

- Charles DeSimone, SIFMA
- Ellen Greene, SIFMA
- Joseph Seidel, SIFMA
- Ken Bentsen, SIFMA
- Robert Toomey, SIFMA
- Andrew Margolin, Bank of America
- Justin Kletter, Bank of America
- Gary Stone, Bloomberg
- Gregory Babyak, Bloomberg
- Gary Goldsholle, Charles Schwab
- Jonah Platt, Citadel
- Gregg Berman, Citadel
- Adam Kezsborn, Citi
- Manu Balachandran, Citi
- Ryan Brophy, Citi
- Tommy Martin, Dash Financial
- Joe Ambrose, Goldman Sachs
- Wade Dougherty, Goldman Sachs
- Sanjana Kapur, Jefferies
- Stewart Pomerantz, Jeffries
- Chloe Cabot, JP Morgan
- Deborah Eng, JP Morgan
- Andrew Upward, Jane Street

- Jeremy Kahn, Jane Street
- Doug Bloom, Morgan Stanley
- Sapna Patel, Morgan Stanley
- Sarah Sprague, Morgan Stanley
- John Roeser, Schwab
- Andrew Smith, Virtu
- Tom Merritt, Virtu

Among other matters, the participants discussed SIFMA's comment letter filed in connection with Regulation Systems Compliance and Integrity.