

TO: File No. S7-12-21
FROM: Daniel Chang, EDGAR Business Office
RE: Meeting with Representatives of Broadridge Financial Solutions, Inc.
DATE: April 15, 2022

On Wednesday, April 6, 2022, representatives of the Securities and Exchange Commission (“SEC”) participated in a meeting with representatives of Broadridge Financial Solutions, Inc. (“Broadridge”), which had previously submitted a comment letter to the SEC as a member of the Filer Consortium in response to the Request for Comment on Potential Technical Changes to EDGAR Filer Access and Filer Account Management Processes.¹ The SEC representatives were Jed Hickman, Rosemary Filou, and Daniel Winter (all from the EDGAR Business Office), with relevant SEC contractors also in attendance. The Broadridge representatives included Nickyann Berteau, Eric Jones, John Bowen, Colby Santana, Steve Neal, Marilyn Peng, Jim Sugrue, and Ojmar Rosette.

The meeting was held as part of the staff’s efforts to seek additional information and engage in a dialogue regarding the concerns raised by commenters in response to the Commission’s Request for Comment, pursuant to the Chair’s request that the staff consider how the agency might address concerns articulated by commenters. The participants discussed the EDGAR Next project, including EDGAR filer access and filer account management processes.

¹ See Comment Letter of The Filer Consortium (Nov. 30, 2021) (submitted on behalf of various members, including Broadridge).