

MEMORANDUM

February 28, 2024

TO: File No. S7-12-23

FROM: Holly Hunter-Ceci
Office of Commissioner Mark T. Uyeda

RE: Meeting with Representatives of The Schwab Corporation (“Schwab”)

On February 28, 2024, Commissioner Mark T. Uyeda and his counsels, Steven B. Levine and Holly Hunter-Ceci, and his policy advisor Taylor Asher, met in person with the following:

- John Roeser, Managing Director and Chief Counsel;
- Jeff Brown, Senior Vice President and Head of Legislative and Regulatory Affairs; and
- Scott Eckel, Vice President, Legislative and Regulatory Affairs

Among other matters, the participants discussed Schwab’s comment letter submitted in response to the predictive data analytics proposal.