

MEMORANDUM

TO: File No. S7-23-22

FROM: Elizabeth L. Fitzgerald, Assistant Director, Division of Trading & Markets

RE: Meeting with Futures Industry Association (“FIA”)

DATE: June 7, 2023

On June 2, 2023, staff from the Division of Trading and Markets (TM) and the Division of Economic and Risk Analysis (DERA) met with staff from Bank of America. The general topics discussed included Standards for Covered Clearing Agencies for U.S. Treasury Securities and Application of the Broker-Dealer Customer Protection Rule with Respect to U.S. Treasury Securities Fund Advisers.

Attendees from TM included: Haoxiang Zhu, Jeffrey Mooney, Eric Juzenas, Thomas McGowan, Randall Roy, Ray Lombardo, Sheila Swartz, Robert Zak, John Procilo, and Elizabeth Fitzgerald. Attendees from DERA included Samim Ghamami.

Attendees from FIA included: Allison Lurton and Michael Sorrell.