

## MEMORANDUM

June 15, 2023

**TO:** File Nos.: S7-21-22; RIN 3235-AN15; and RIN 3235-AN25

**FROM:** Robert Fisher  
Office of Commissioner Mark T. Uyeda

**RE:** Meeting with Representatives of Options Clearing Corporation (OCC)

On June 9, 2023, Commissioner Mark T. Uyeda and his counsel, Robert Fisher, had a meeting with OCC. Commissioner Uyeda and the attendees met in-person. The OCC representatives in attendance consisted of:

- Andrej Bolkovic (CEO)
- Dan Busby (COO)
- Jeanne Balcom (Executive Director, Regulatory Policy)
- Megan Malone Cohen (General Counsel and Corporate Secretary)
- Sheila Zak (Executive Director, OCC Member Services)
- John Kobos (Executive Director, Renaissance Integrated Testing)

Among other matters, the participants discussed OCC's comment letters filed in connection with the Clearing Agency Governance and Conflicts of Interest; Regulation Systems Compliance and Integrity; and Cybersecurity Risk Management Rule for Broker-Dealers, Clearing Agencies, Major Security-Based Swap Participants, the Municipal Securities Rulemaking Board, National Securities Associations, National Securities Exchanges, Security-Based Swap Data Repositories, Security-Based Swap Dealers, and Transfer Agents.