

To: File No.: S7-30-22
From: Office of Public Engagement
Date: 10/23/23
Re: Meeting with UBS

On October 23, 2023, Chair Gensler and SEC staff met with UBS to discuss, among other matters, the following proposals:

- Regulation NMS: Minimum Pricing Increments, Access Fees, and Transparency of Better Priced Orders – S7-30-22

Members of the SEC included:

- Chair Gary Gensler
- Amanda Fischer, Chief of Staff
- Heather Slavkin Corzo, Director of Policy

Representatives from UBS included:

- Colm Kelleher, Chairman of the Board of Directors
- Markus Ronner, Group Chief Compliance and Governance Officer, and Chairman, UBS Switzerland
- John Nolan, Managing Director, Federal Affairs Manager