

**MEMORANDUM**

October 31, 2022

**TO:** File Nos. S7-32-10; S7-06-22; S7-08-22; and S7-12-22

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

**RE:** Meeting with Representatives of the Investment Company Institute (“ICI”) and their Members

On October 27, 2022, Steven B. Levine and Holly Hunter-Ceci of Commissioner Uyeda’s office met virtually with the following:

ICI

Sarah Bessin, Deputy General Counsel  
Nhan Nguyen, Assistant General Counsel

BlackRock

Waqas Fahmawi, Director, Legal and Compliance  
Mbabazi Kasara, Director, Legal and Compliance  
Elizabeth Kogut, Vice President, Legal and Compliance  
David Rothenberg, Vice President, Legal and Compliance

Dodge & Cox

Erin Kennedy, Senior Counsel

Goldman Sachs

Wendy Yun, Managing Director & Associate General Counsel  
Michele Kershaw, Vice President  
Prashina Gagoomal, Vice President

Neuberger Berman

Corey Issing, Managing Director and General Counsel

T. Rowe Price

Mehmet Kinak, Global Head of Equity Trading  
Jonathan Siegel, Managing Legal Counsel  
Robert Grohowski, Managing Counsel, Legislative and Regulatory Affairs

The representatives discussed the ICI's comment letters filed in connection with the following rulemakings: position reporting of large security-based swap positions; beneficial ownership reporting; short position and short activity reporting by institutional investment managers; and the definition of "dealer" and "government securities dealer" under the Securities Exchange Act of 1934.