

To: File Nos.: S7-29-22, S7-30-22, S7-31-22, S7-32-22
From: Office of Public Engagement
Date: 11/01/23
Re: Meeting with Schwab

On November 1, 2023, Chair Gensler and SEC staff met with Schwab to discuss, among other matters, the following proposals:

- Disclosure of Order Execution Information – S7-29-22
- Regulation NMS: Minimum Pricing Increments, Access Fees, and Transparency of Better Priced Orders – S7-30-22
- Order Competition Rule – S7-31-22
- Regulation Best Execution – S7-32-22

Members of the SEC included:

- Chair Gary Gensler
- Heather Slavkin Corzo, Director of Policy
- Jessica Wachter, Chief Economist and Director of Division of Economic and Risk Analysis
- Haoxiang Zhu, Director of the Division of Trading and Markets

Representatives from Schwab included:

- Peter Morgan, General Counsel
- Jason Clague, Head of Operations
- Jeff Starr, Head of Operational Services
- John Roeser, Chief Counsel, Trading and Operations
- Jeff Brown, Senior Vice President, Legislative and Regulatory Affairs
- Scott Eckel, Vice President, Legislative and Regulatory Affairs
- Peter Roberson, Managing Director, Legislative and Regulatory Affairs