

MEMORANDUM

To: File Nos. SR-OCC-2022-801, SR-OCC-2022-007, SR-NSCC-2022-007

From: Office of Clearance and Settlement, Division of Trading and Markets

Re: Meeting with Bank of America Securities

Date: February 7, 2024

On February 6, 2024, staff from the Division of Trading and Markets (TM) met with Bank of America Securities (BOA) and McGuireWoods LLP (McGuire Woods). The general topics discussed were the clearing agency filings by the Options Clearing Corp. (OCC) and the National Securities Clearing Corp. (NSCC) to modify the Amended and Restated Stock Options and Futures Settlement Agreement dated August 5, 2017, between OCC and NSCC.¹

Attendees from TM included Jeffrey Mooney, Elizabeth Fitzgerald, Moshe Rothman, Zachary Hunter, and Aaron Foxman.

Attendees from BOA included Michele Bianco, Alex Kerdman, Keith Huebsch, and Erin Hopkins. Attendees from McGuireWoods included John Ayanian, and Andrew Mannarino.

¹ OCC filed a proposed rule change (SR-OCC-2023-007) and advance notice (SR-OCC-2023-801) regarding this matter. NSCC filed a proposed rule change regarding the same matter (SR-NSCC-2023-007).