

To: Public Comment File – Docket No. OCC–2023–0008

From: Carl Kaminski, Assistant Director, Bank Advisory Group, Chief Counsel’s Office

Date: May 30, 2024

Subject: Meeting with representatives from the Investment Company Institute (“ICI”), Nuveen, State Street, JP Morgan Chase, BNY Mellon, and Debevoise & Plimpton LLP to discuss: Notice of Proposed Rulemaking: “Regulatory Capital Rule: Large Banking Organizations and Banking Organizations with Significant Trading Activity”

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Staff of the Office of the Comptroller of the Currency, the Federal Deposit Insurance Corporation, and the Federal Reserve System met with representatives from ICI regarding the agency’s Notice of Proposed Rulemaking on Regulatory Capital Rule: Large Banking Organizations and Banking Organizations With Significant Trading Activity (the “NPR”), which was published in the Federal Register on September 18, 2023 (88 FR 64028).

The ICI representatives discussed the NPR’s proposed capital treatment of seed capital investments and closed end funds and the proposed publicly listed requirements, as described further in their comment letters. The ICI representatives recommended that the federal banking agencies issue a re-proposal of the NPR.

## Attendees

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OCC

Andrew Tschihart  
Venus Fan  
Carl Kaminski

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FDIC

Bob Charurat  
Richard Smith  
Huiyang Zhou  
Iris Li  
Catherine Wood  
Anjoly David  
Ernest Barkett  
Michael Maloney  
Merritt Pardini  
Keith Bergstresser  
Peter Yen

Richard Smith  
Lauren Brown  
Benedetto Bosco  
Ryan Billingsley

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Federal Reserve Board

Shooka Saket  
David Alexander  
Christopher Appel  
Daniel Schwindt  
David Imhoff  
Katarina Liviana  
Nadya Zeltser  
Vikram Ramnarain  
Sarah Dunning  
Aakash Jani  
Abigail Roberts  
Cecily Boggs  
Mark Buresh  
Matthew McQueeney  
Andrew Willis

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ICI

Rachel Graham

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State Street

Robert McKeon  
Karen Gallagher  
Timothy Corbett

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JP Morgan Chase

Joseph O'Connor  
Christopher Cafiero

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BNY Mellon

Manoo Halati  
Stephan Bonte

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Debevoise and Plimpton

Chen Xu  
Dave Tejas  
Tea Baldwin

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Nuveen

Nate Jones  
John McCann

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