

## Truth in Testimony Disclosure Form

In accordance with Rule XI, clause 2(g)(5)\* of the *Rules of the House of Representatives*, witnesses are asked to disclose the following information. Please complete this form electronically by filling in the provided blanks.

Committee: House Financial Services Committee

Subcommittee: -

Hearing Date: September 24, 2024

Hearing Title: Oversight of the Securities and Exchange Commission

Witness Name: Mark T. Uyeda

Position/Title: Commissioner

Witness Type:  Governmental  Non-governmental

Are you representing yourself or an organization?  Self  Organization

If you are representing an organization, please list what entity or entities you are representing:

U.S. Securities & Exchange Commission

### FOR WITNESSES APPEARING IN A NON-GOVERNMENTAL CAPACITY

Please complete the following fields. If necessary, attach additional sheet(s) to provide more information.

Are you a fiduciary—including, but not limited to, a director, officer, advisor, or resident agent—of any organization or entity that has an interest in the subject matter of the hearing? If so, please list the name of the organization(s) or entities.

Please list any federal grants or contracts (including subgrants or subcontracts) related to the hearing's subject matter that you or the organization(s) you represent have received in the past thirty-six months from the date of the hearing. Include the source and amount of each grant or contract.

Please list any contracts, grants, or payments originating with a foreign government and related to the hearing's subject that you or the organization(s) you represent have received in the past thirty-six months from the date of the hearing. Include the amount and country of origin of each contract or payment.

Please complete the following fields. If necessary, attach additional sheet(s) to provide more information.

- I have attached a written statement of proposed testimony.
- I have attached my curriculum vitae or biography.

\* Rule XI, clause 2(g)(5), of the U.S. House of Representatives provides:

(5)(A) Each committee shall, to the greatest extent practicable, require witnesses who appear before it to submit in advance written statements of proposed testimony and to limit their initial presentations to the committee to brief summaries thereof.

(B) In the case of a witness appearing in a non-governmental capacity, a written statement of proposed testimony shall include— (i) a curriculum vitae; (ii) a disclosure of any Federal grants or contracts, or contracts, grants, or payments originating with a foreign government, received during the past 36 months by the witness or by an entity represented by the witness and related to the subject matter of the hearing; and (iii) a disclosure of whether the witness is a fiduciary (including, but not limited to, a director, officer, advisor, or resident agent) of any organization or entity that has an interest in the subject matter of the hearing.

(C) The disclosure referred to in subdivision (B)(ii) shall include— (i) the amount and source of each Federal grant (or subgrant thereof) or contract (or subcontract thereof) related to the subject matter of the hearing; and (ii) the amount and country of origin of any payment or contract related to the subject matter of the hearing originating with a foreign government.

(D) Such statements, with appropriate redactions to protect the privacy or security of the witness, shall be made publicly available in electronic form 24 hours before the witness appears to the extent practicable, but not later than one day after the witness appears.

**False Statements Certification**

Knowingly providing material false information to this committee/subcommittee, or knowingly concealing material information from this committee/subcommittee, is a crime (18 U.S.C. § 1001). This form will be made part of the hearing record.

Man 7. Uyeda  
Witness signature

9/23/2024  
Date



## U.S. Securities and Exchange Commission

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### COMMISSIONER

# Mark T. Uyeda



Mark T. Uyeda was sworn into office as a Commissioner of the U.S. Securities and Exchange Commission on June 30, 2022, after being confirmed by the U.S. Senate. He was sworn in for a second term as Commissioner on December 28, 2023, after being confirmed by the U.S. Senate for a five-year term expiring in 2028.

Prior to becoming Commissioner, he served as an SEC detailee to both the legislative and executive branches, most recently as securities counsel to Ranking Member Pat Toomey on the U.S. Senate Committee on Banking, Housing, and Urban Affairs. Commissioner Uyeda also served on detail as a policy advisor to senior leadership at the U.S. Department of the Treasury in 2017-2018 and the U.S. Department of Labor in 2020. Commissioner Uyeda has been with the SEC since 2006, serving as Senior Advisor to Chairman Jay

Clayton, Counsel to Commissioners Michael S. Piowar and Paul S. Atkins, and Assistant Director and Senior Special Counsel in the Division of Investment Management.

Before joining the SEC, Commissioner Uyeda served as Chief Advisor to the California Corporations Commissioner, the state's securities regulator, having been appointed by Governor Arnold Schwarzenegger in 2004. Earlier in his career, he worked as a corporate and securities attorney at Kirkpatrick & Lockhart (now K&L Gates) in Washington, D.C. and O'Melveny & Myers in Los Angeles.

Commissioner Uyeda earned his bachelor's degree in business administration from Georgetown University in 1992 and his law degree with honors from Duke University in 1995. He is the first Asian-Pacific American to serve as a Commissioner at the SEC.

Last Reviewed or Updated: July 12, 2024

## RECENT SPEECHES & STATEMENTS

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### STATEMENT

**[Nothing to See; Nothing to Say: Statement on Recent Whistleblower Awards \(/newsroom/speeches-statements/peirce-uyeda-statement-whistleblower-091924\)](#)**

Sept. 19, 2024

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### STATEMENT

**[Statement on Adoption of Rule Regarding Regulation NMS: Minimum Pricing Increments, Access Fees, and Transparency of Better Priced Orders \(/newsroom/speeches-statements/uyeda-statement-regulation-nms-091824\)](#)**

Sept. 18, 2024