

MEMORANDUM

TO: File Nos. S7-04-23 and S7-12-23

FROM: Nathan R. Schuur, Counsel to Commissioner Caroline Crenshaw

RE: Meeting with Representatives of Committee on Capital Markets Regulation

DATE: September 25, 2023

On September 25, 2023, Commissioner Crenshaw and her counsel Nathan Schuur met with representatives of the Committee on Capital Markets Regulation. Participants included:

- Hal Scott
- John Gulliver

The participants discussed, among other things, the Commission's proposals titled Safeguarding Advisory Client Assets (Release No. IA-6384) and Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers (Release No. 34-97990).