

MEMORANDUM

To: File Nos. S7-12-23, S7-04-23
From: William Middlebrooks, Counsel to Commissioner Hester M. Peirce
Re: Meeting with Representatives of Fidelity

On 11 March, 2024 Commissioner Hester M. Peirce, along with Ammon Simon and William Middlebrooks, Counsels to Commissioner Peirce, met with the following representatives from Fidelity:

- Robert Bracerros, General Counsel
- Tom Jessop, Head of Fidelity Brokerage
- John Slyconish, Treasurer
- Greg Friedman, Head of ETF Strategy
- Mike O'Reilly, President, Fidelity Digital Assets
- Hank Erbe, Head of Enterprise Relationship Management
- Jay Haines, SVP, Deputy GC
- Krista Ryan, SVP, Deputy GC
- Jim Febeo, SVP, Head of Federal Government Relations
- Martha Miller, VP, Public Policy
- Jason Goggins, VP, Federal Government Relations

Among the topics discussed were the Commission's rulemaking proposals on:

- *Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker Dealers and Investment Advisers;*
- *Safeguarding Advisory Client Assets.*