

MEMORANDUM

To: File No. S7-04-23 and File No. S7-12-23

From: Jacqueline Moessner, Temporary Counsel to Commissioner Hester M. Peirce

Re: Meeting with Dalton State College Students

On 28 March, 2024, Commissioner Hester Peirce and Jacqueline Moessner, temporary counsel to Commissioner Peirce, met with various students at Dalton State College in Dalton, Georgia as part of the SEC-NASAA-Georgia Secretary of State Joint Investor Roundtable.

The conversation touched upon the Commission's proposed rules on:

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