

MEMORANDUM

TO: File Nos. S7-12-23; S7-05-23

FROM: Anand Das
Senior Special Counsel
Office of Chief Counsel, Division of Trading and Markets
U.S. Securities and Exchange Commission (the "Commission")

RE: Meeting with Securities Industry and Financial Markets Association ("SIFMA")

DATE: November 14, 2023

On November 8, 2023, Emily Westerberg Russell and Anand Das from the Division of Trading and Markets met with the following representatives of SIFMA's General Counsels Committee:

Saima Ahmed, Bernard Canepa and Melissa MacGregor, SIFMA
Mahlet Ayalew, JPMorgan Chase & Co.
Lisa Bertain, Edward Jones
Mark Borrelli, Huntington
Michael Bosworth, Goldman Sachs
Althea Brown, LPL Financial
Evan Charke, Bank of America Merrill Lynch
Cissie Citardi, William Blair
Ed Duch, MassMutual
Rosemarie Fanelli, Prometheus, Inc.
Mark Fisher, Stifel Financial Corp.
Bill Freilich, JP Morgan Securities
Nicholas Kovner, Trumid Financial, LLC
Sabeena Ahmed Liconte, ICBC Standard Bank Group
Scott Litvinoff and Elaine Mandelbaum, Interactive Brokers, LLC
Saumya Manohar, Public
Ilene Marquardt, Wells Fargo
Jane Matoesian and Gwendolyn Taylor, Benjamin F. Edwards
Dennis McNamara, Oppenheimer
Peter Morgan, The Charles Schwab Corporation
Tamara Peterson, US Bank
Michelle Rhee, Wells Fargo Bank N.A.
Paul Schultz, Baird
Ketan Shah, Mesirov

Monica Simon, Forge Global
Kelvina Smith, Lloyds Securities Inc.
Dave Sparks, Raymond James Financial
Ryan VanGrack, Citadel Securities
Marshall Yuan, Marsh McLennan

Among the topics discussed were the Commission's proposed rules on Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers (File No. S7-12-23) and Regulation S-P: Privacy of Consumer Financial Information and Safeguarding Customer Information (File No. S7-05-23).