

To: File No.: S7-12-23
From: Office of Public Engagement
Date: 11/7/23
Re: Meeting with Vanguard

On November 6, 2023, Chair Gensler and SEC staff met with Vanguard to discuss the Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers proposal. Matters discussed included the scope of the proposal, managing conflicts of interest, and the use of emerging technologies.

Members of the SEC included:

- Chair Gary Gensler
- Heather Slavkin Corzo, Director of Policy
- Jessica Wachter, Chief Economist and Director of the Division of Economic Risk and Analysis
- Barb Roper, Senior Advisor
- Jay Krawitz, Investment Management Counsel
- Lily Bailey, Special Assistant

Representatives from Vanguard included:

- Tim Buckley, Chairman & CEO
- Matthew Benchener, Managing Director, Vanguard Personal Investor
- George Gilbert, Head of U.S. Regulatory Affairs