

To: Comment File S7-12-23
From: Barbara Roper, Senior Advisor to the Chair
Date: November 28, 2023
Re: Meeting with Paul Roye

On November 28, 2023, Barbara Roper, Senior Advisor to the Chair, met with Paul Roye, Retired, Former Senior Vice President and Senior Counsel, Fund Business Management Group, Capital Research and Management Company, former SEC Director of the Division of Investment Management, and member of the Investor Advisory Committee. Topics discussed included the Commission's Proposed Rule to address Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers (File No. 27-12-23).