

MEMORANDUM

November 30, 2023

TO: File No. S7-12-23

FROM: Jacob D. Krawitz
Policy Counsel, Office of the Chair

RE: Meeting with Investment Advisers Association (IAA)

On November 30, 2023, the SEC staff members listed below met with the following representatives from the IAA:

SEC Representatives:

Jacob Krawitz (Chair's Office)

Barbara Roper (Chair's Office)

IAA Representatives:

Gail Bernstein

Sanjay Lamba

The participants discussed, among other topics, the Commission's proposal relating to Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers.