

To: File No.: S7-12-23
From: Office of Public Engagement
Date: 11/30/23
Re: Meeting with SIFMA and SIFMA AG

On November 30, 2023, Chair Gensler and SEC staff met with SIFMA, SIFMA AMG, and SIFMA members to discuss the Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers proposal, among other topics.

Members of the SEC included:

- Chair Gary Gensler
- Heather Slavkin Corzo, Director of Policy
- Barb Roper, Senior Advisor
- William Birdthistle, Director, Division of Investment Management
- Sarah ten Siethoff, Deputy Director, Division of Investment Management
- Jay Krawitz, Investment Management Counsel
- Lily Bailey, Special Assistant

Representatives from SIFMA included:

- **SIFMA Staff**
 1. Ken Bentsen, President and CEO, SIFMA
 2. Joe Siedel, COO, SIFMA
 3. Melissa MacGregor, Deputy General Counsel and Corporate Secretary, SIFMA
 4. Kevin Carroll, Deputy General Counsel, Litigation and Private Client, SIFMA
 5. Kevin Ehrlich, Managing Director, SIFMA Asset Management Group
 6. Jennie Jacoby, Managing Director, Federal Affairs and Associate General Counsel, SIFMA
- **SIFMA Members**
 1. Bridget Farrell, Associate General Counsel, Edward Jones
 2. Mara Shreck, Managing Director, Regulatory Affairs, JPM Asset & Wealth Management
 3. Samuel Keenan, Vice President, Regulatory Affairs, JPM Asset & Wealth Management
 4. Karim Lynn, Senior Vice President & Deputy General Counsel, Fidelity Brokerage
 5. Jay Haines, Senior Vice President & Deputy General Counsel, Fidelity Retirement
 6. Kristy Croushore, Vice President, Federal Government Relations, Fidelity Investments
 7. Jeff Robins, Partner, Debevoise & Plimpton
 8. Kristin Snyder, Partner, Debevoise & Plimpton
 9. Matt Kelly, Litigation Counsel, Debevoise & Plimpton