

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

On December 6, 2023, Chair Gensler and SEC staff met with Edward Jones to discuss the Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers proposal.

Members of the SEC included:

- Chair Gary Gensler
- Heather Slavkin Corzo, Director of Policy
- Jay Krawitz, Investment Management Counsel
- Barb Roper, Senior Advisor
- Lily Bailey, Special Assistant

Representatives from Edward Jones included:

- Penny Pennington, Managing Partner
- Ken Cella, Head of External Affairs
- Keir Gumbs, General Counsel
- Jessica Hopper, General Partner for Legal Regulatory Strategy
- Bridget Farrell, Head of Legal Regulatory Policy
- Lisa Bertain, Interim General Counsel