

To: Comment File S7-12-23
From: Barbara Roper, Senior Advisor to the Chair
Date: December 20, 2023
Re: Meeting with Fidelity

On December 20, 2023, members of the Chair's Office staff met with representatives of Fidelity to discuss 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. S7-12-23). Internal participants included Barbara Roper, Senior Advisor to the Chair, and Jay Krawitz, the Chair's Investment Management Counsel. External participants included Karim Lynn, Fidelity Senior Vice President and Deputy General Counsel, and Kristy Croushore, Fidelity Vice President, Government Relations.