

## MEMORANDUM

**To:** File Nos. S7-12-23, S7-04-23  
**From:** William Middlebrooks, Counsel to Commissioner Hester M. Peirce  
**Re:** Meeting with Representatives of Fidelity

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On 11 March, 2024 Commissioner Hester M. Peirce, along with Ammon Simon and William Middlebrooks, Counsels to Commissioner Peirce, met with the following representatives from Fidelity:

- Robert Bracerros, General Counsel
- Tom Jessop, Head of Fidelity Brokerage
- John Slyconish, Treasurer
- Greg Friedman, Head of ETF Strategy
- Mike O'Reilly, President, Fidelity Digital Assets
- Hank Erbe, Head of Enterprise Relationship Management
- Jay Haines, SVP, Deputy GC
- Krista Ryan, SVP, Deputy GC
- Jim Febeo, SVP, Head of Federal Government Relations
- Martha Miller, VP, Public Policy
- Jason Goggins, VP, Federal Government Relations

Among the topics discussed were the Commission's rulemaking proposals on:

- *Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker Dealers and Investment Advisers;*
- *Safeguarding Advisory Client Assets.*