

MEMORANDUM

To: Comment File – Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers
File No.: S7-12-23

Comment File – Safeguarding Advisory Client Assets
File No.: S7-04-23

From: Janna I. Berke, Counsel to Commissioner Caroline Crenshaw
U.S. Securities and Exchange Commission

Date: March 13, 2024

Re: Meeting with Representatives of SIFMA

On March 11, 2024, Commissioner Crenshaw and her counsel Janna Berke and Susan Poklemba met with the following members on behalf of SIFMA:

- Kevin Carroll, Deputy GC, SIFMA
- Melissa MacGregor, Deputy GC, SIFMA
- Kevin Ehrlich, Managing Director, SIFMA AMG
- Ken Bentsen, CEO, SIFMA
- Joseph Seidel, COO, SIFMA

The proposal entitled “Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers” and the proposal entitled “Safeguarding Advisory Client Assets” were among the topics discussed.