

MEMORANDUM

To: File No. S7-12-23
From: William Middlebrooks, Counsel to Commissioner Hester M. Peirce
Re: Meeting with Representatives of the Investment Company Institute (ICI)

On 22 March, 2024 Commissioner Hester M. Peirce, along with Sumeera Younis and William Middlebrooks, Counsels to Commissioner Peirce, met with the following representatives from ICI:

- Justin Williams, Director, Legal & Compliance, BlackRock
- Kellin Clark, VP, Capital Group
- Katie Gorham, Legal & Compliance, Capital Group
- Naseem Nixon, Counsel, Capital Group
- Stephanie Hui, Lead Counsel, Public Policy & VP, Dimensional
- Jonathan Siegel, Managing Legal Counsel, T. Rowe Price
- Erik Olsen, CCO, Vident
- Sarah Bessin, Deputy General Counsel – Markets, SMAs & CITs, Investment Company Institute
- Mitra Surrell, Associate General Counsel, Investment Company Institute

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*