

MEMORANDUM

TO: File No. S7-12-23

FROM: Nathan R. Schuur, Counsel to Commissioner Caroline Crenshaw

RE: Meeting with the Investment Company Institute (“ICI”) and its members

DATE: April 29, 2024

On April 29, 2024, Commissioner Crenshaw and her counsels Janna Berke, Susan Poklemba, and Nate Schuur met with representatives of ICI and its members. Participants included:

- Ben Tecmire, Director, Global Public Policy Group, BlackRock;
- Justin Williams, Director, Legal & Compliance, BlackRock;
- Kellin Clark, Vice President, Capital Group;
- Katie Gorham, Legal & Compliance, Capital Group;
- Naseem Nixon, Counsel, Capital Group;
- Stephanie Hui, Lead Counsel, Public Policy & Vice President, Dimensional;
- Jonathan Siegel, Managing Legal Counsel, T. Rowe Price;
- Danielle Nicholson Smith, Vice President and Managing Counsel – U.S. Communications and Digital Services, T. Rowe Price;
- Erik Olsen, Chief Compliance Officer, Vident;
- Sarah Bessin, Deputy General Counsel – Markets, SMAs & CITs, Investment Company Institute; and
- Mitra Surrell, Associate General Counsel, Investment Company Institute.

The participants discussed, among other things, the Commission’s proposal titled *Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers*.