

To: File No.: S7-12-23
From: Office of Public Engagement
Date: 5/1/24
Re: Meeting with the Institute for Portfolio Alternatives

On May 1, 2024, Chair Gensler and SEC staff met with the Institute for Portfolio Alternatives (IPA) to discuss, among other matters, the Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers proposal.

Members of the SEC included:

- Chair Gary Gensler
- Corey Klemmer, Acting Director of Policy
- Natasha Vij Greiner, Director of the Division of Investment Management
- Sarah ten Siethoff, Deputy Director of the Division of Investment Management
- Sam Ostrom, Policy Counsel

Representatives from IPA included:

- Anya Coverman, President & CEO, IPA
- Gina Gombar, VP of Government Affairs and Associate General Counsel, IPA
- Kevin Walsh, Principal, Groom Law Group
- Kevin Gannon, CEO and Chairman, Robert A. Stanger & Co
- Lisa Peto, Partner, Mindset
- Bill Duffy, Vice President, Alternative Investments, Fidelity Investments
- Bradley Sussman, Vice President, Raymond James Financial
- Brian Hurley, Managing Partner, General Counsel, Brookfield Oaktree Wealth Solutions
- Brian Ruben, Global Real Estate Audit & Assurance Leader, Deloitte & Touche LLP
- Chirag Bhavsar, Co-CEO, CNL Financial Group
- Dallas Whitaker, CEO, Carter Funds
- Dennis Martin, Global Head of Private Wealth & Real Estate and Private Equity, PGIM Real Estate
- Jason Goode, Partner, Alston & Bird LLP
- Jay Frank, President & COO, Cantor Fitzgerald
- John McCarthy, Starwood Capital, Managing Director, Vice Chair, SREIT
- Justin Schwartz, Executive Director, DTCC
- Michael Keogh, Managing Director, Fund Research and Management, iCapital
- Scott Napier, Executive Director of JPM Global Alternatives, J.P. Morgan Asset Management
- Sheila Rapple, Managing Director, Blackstone
- Thayer Gallison, SVP, Head of Product Strategy, Cottonwood Residential
- Steve Snyder, Senior Vice President Investment Product Management, LPL Financial LLC
- James Hannigan, Managing Director, Apollo Global Management