

MEMORANDUM

TO: File No. S7-12-23
FROM: Ted Uliassi, Senior Counsel, Division of Investment Management
DATE: June 13, 2024
RE: Conference On Emerging Trends In Asset Management

On May 16, 2024, the Division of Investment Management of the Securities and Exchange Commission (“SEC”) hosted a Conference on Emerging Trends in Asset Management (“Conference”).

Several SEC staff members, asset management industry participants, and academics—including those listed as speakers, session moderators, or panelists on the Conference agenda (<https://www.sec.gov/news/upcoming-events/2024-conference-emerging-trends-asset>)—participated in the Conference.

The Conference participants discussed, among other things, the SEC’s proposal relating to Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers (File No. S7-12-23).