

MEMORANDUM

TO: File Nos. S7-12-23; SR-FINRA-2023-007; SR-FINRA-2023-006

FROM: Marc Sharma, Assistant Director and Chief Counsel  
Office of the Investor Advocate

DATE: August 17, 2023

RE: Virtual Meeting with Representatives of the North American Securities  
Administrators Association (“NASAA”)

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On August 10, 2023, Cristina Martin Firvida, Investor Advocate, and staff from the Office of the Investor Advocate met virtually with representatives of NASAA.

The following representatives from the Office of the Investor Advocate participated in the meeting:

- Cristina Martin Firvida, Investor Advocate;
- Marc Sharma, Assistant Director and Chief Counsel;
- Adam Moore, Senior Counsel;
- Charles Kwon, Senior Counsel;
- Adam Anicich, Investor Engagement Manager; and
- Carla Anglin, Investor Engagement Officer.

The following representatives from NASAA participated in the meeting:

- Joseph Brady, Executive Director; and
- Kristen Hutchens, Director of Policy and Government Affairs, and Policy Counsel.

The participants discussed, among other topics, the Commission’s rule proposal entitled *Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers* [Release Nos. 34-97990; IA 6353]; the proposed rule filing under FINRA Rule 3110 (Supervision) to adopt *Supplementary Material .18 (Remote Inspections Pilot Program)* [Release No. 34-97398]; and the proposed rule filing under FINRA Rule 3110 (Supervision) to adopt *Supplementary Material .19 (Residential Supervisory Location)* [Release No. 34-97398].