

## MEMORANDUM

TO: File Nos. S7-04-23 and S7-12-23

FROM: Brandon Hill – Counsel to Commissioner Jaime Lizárraga – U.S. Securities and Exchange Commission

RE: SIFMA

DATE: February 26, 2024

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On February 26, 2024, Commissioner Jaime Lizárraga, Parisa Haghshenas, Diem-Mi Lu, and Brandon Hill, met with the following representatives of SIFMA:

- Ken Bentsen, CEO
- Saima Ahmed, GC
- Kevin Carroll, Deputy GC
- Melissa MacGregor, Deputy GC
- Kevin Ehrlich, Associate GC
- Joe Seidel, COO

Among the topics discussed were proposed rules on Safeguarding Advisory Client Assets and Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers.