

MEMORANDUM

February 8, 2024

TO: File Nos.: S7-12-23; S7-31-22; and S7-22-22

FROM: Robert Fisher
Office of Commissioner Mark T. Uyeda

RE: Meeting with Representatives of Better Markets

On February 8, 2023, Commissioner Mark T. Uyeda and his counsel Robert Fisher had a meeting with Better Markets. The attendees met in person. The Better Markets representatives in attendance consisted of:

- Dennis Kelleher, President and CEO
- Benjamin Schiffrin, Director of Securities Policy
- Stephen Hall, Legal Director and Securities Specialist

Among other matters, the participants discussed Better Markets' comment letters filed in connection with Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers; Order Competition Rule; and Amendments to Form PF to Amend Reporting Requirements for All Files and Large Hedge Funds Advisers.