



U.S. Securities and Exchange Commission

[Home](#) / [About](#) / [Advisory Committees](#) / Investor Advisory Committee

Investor Advisory Committee

[Section 911 of the Dodd-Frank Act](https://www.govinfo.gov/content/pkg/PLAW-111publ203/pdf/PLAW-111publ203.pdf#page%3D448) (<https://www.govinfo.gov/content/pkg/PLAW-111publ203/pdf/PLAW-111publ203.pdf#page%3D448>) established the new Investor Advisory Committee to advise the Commission on regulatory priorities, the regulation of securities products, trading strategies, fee structures, the effectiveness of disclosure, and on initiatives to protect investor interests and to promote investor confidence and the integrity of the securities marketplace.

The Dodd-Frank Act authorizes the committee to submit findings and recommendations for review and consideration by the Commission. (Links to the Committee's recommendations can be found below.) Members of the Committee are chosen from among knowledgeable representatives of both retail and institutional investors. (Links to the biographies of current Committee members can be found below.)

If you think you might be interested in serving on the Investor Advisory Committee, please [review \(/about/advisory-committees/investor-advisory-committee/iac-committee-information\)](/about/advisory-committees/investor-advisory-committee/iac-committee-information) the following for information on eligibility criteria, how to apply, and what to expect if you are chosen to serve.

The Commission has announced it is [seeking applications for new members](https://www.sec.gov/newsroom/press-releases/2026-10-sec-seeks-candidates-membership-investor-advisory-committee) (<https://www.sec.gov/newsroom/press-releases/2026-10-sec-seeks-candidates-membership-investor-advisory-committee>) of the Investor Advisory Committee. The deadline to submit a letter of interest was Feb. 23, 2026.

Committee Members

Officers

NAME	TITLE/COMPANY
Brian L. Schorr, Chair (/spotlight/investor-advisory-committee-members-biographies#bs)	Partner and Chief Legal Officer, Triam Fund Management, L.P.
Paul Royce, Vice Chair (/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-members#pr)	Retired, Former Senior Vice President and Senior Counsel, Fund Business Management Group
Colleen Honigsberg, Secretary (/spotlight/investor-advisory-committee-members-biographies#ch)	Professor of Law and Associate Dean of Curriculum, Stanford Law School
George S. Georgiev, Assistant Secretary (/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-members#gg)	Professor of Law, University of Miami School of Law

Members

NAME	TITLE/COMPANY
James Andrus (/spotlight/investor-advisory-committee-members-biographies#ja)	Former Vice President of Public Policy and Former Head of the Global Sustainability Strategy Team at Franklin Templeton

NAME	TITLE/COMPANY
<u>C. Rodney Comegys</u> (/spotlight/investor-advisory-committee-members-biographies#crc)	Global Head of Equity Investment Group at Vanguard
James R. Copland	Senior Fellow and Director, Legal Policy at Manhattan Institute
Currently Vacant	SEC Investor Advocate
<u>Gina-Gail S. Fletcher</u> (/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-members#gf)	Professor of Law, Duke Law School
John A. Gulliver	Executive Director, Committee on Capital Markets Regulations and Program on International Financial Systems
<u>R. Craig Knocke</u> (/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-members-biographies#cknocke)	Chief Investment Officer, Turtle Creek Trust
<u>Christine M. Lazaro</u> (/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-members#cl)	Professor of Clinical Legal Education, St. John's University School of Law of Counsel, Law Offices of Brent A. Burns, LLC
<u>Nancy LeaMond</u> (/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-members#nlm)	Executive Vice President, Chief Advocacy and Engagement Officer, Community, State and National Affairs, AARP

NAME	TITLE/COMPANY
<u>Amy C. McGarrity</u> (/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-members#am)	Chief Investment Officer/Chief Operating Officer, Colorado Public Employees' Retirement Association
<u>Andrew Park</u> (/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-members#ap)	Director of Federal Affairs, New York State Insurance Fund
<u>Dr. David Rhoiney, D.O.</u> (/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-members#dr)	Staff General Surgeon, U.S. Navy
<u>Andrea Seidt</u> (/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-members#as)	Ohio Securities Commissioner
<u>Sergio G. Rodriguera Jr.</u> (/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-members#sr)	Co-Founder, Straylight Systems, Inc.
<u>Alvin Velazquez</u> (/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-members#av)	Associate Professor of Law, Indiana University Maurer School of Law

See also: [Subcommittee Members \(/about/advisory-committees/investor-advisory-committee/subcommittees-investor-advisory-committee\)](/about/advisory-committees/investor-advisory-committee/subcommittees-investor-advisory-committee)

Recommendations of the Investor Advisory Committee

- [Disclosure of Artificial Intelligence's Impact on Operations](#) [_\(/files/approved-artificial-intelligence-disclosure-recommendation-120425.pdf\)](#)
- [Retail Investor Access to Private Market Assets](#) [_\(/files/iac-recommendation-private-market-assets-final-09182025.pdf\)](#)
- [Use of Mandatory Arbitration Clauses By Registered Investment Advisers](#) [_\(/files/investment/approved-investment-adviser-arbitration-recommendation-060525.pdf\)](#)
- [Preserving Investors' Ability to Bring Claims Under Section 11 of the Securities Act of 1933](#) [_\(/files/iac-approved-slack-recommendation-030625.pdf\)](#)
- [Protection of Investors in their Interactions with Finfluencers](#) [_\(/files/approved-finfluencer-recommendations-20241210.pdf\)](#)
- [Financial Literacy and Investor Education](#) [_\(/files/approved-iac-060624-rec-re-inv-ed.pdf\)](#)
- [Protection of Self-Directed Investors when Trading Complex Products and Utilizing Complex Strategies](#) [_\(/files/approved-iac-060624-rec-re-self-directed-investors.pdf\)](#)
- [Digital Engagement Practices](#) [_\(/files/approved-20240214-draft-recs-use-dep.pdf\)](#)
- [Human Capital Management Disclosure](#) [_\(/files/spotlight/iac/20230921-recommendation-regarding-hcm.pdf\)](#)
- [Open-End Fund Liquidity Risk Management Programs and Swing Pricing](#) [_\(/files/spotlight/iac/20230921-recommendation-regarding-swing-pricing.pdf\)](#)
- [Single-Stock ETFs](#) [_\(/files/spotlight/iac/20230622-recommendation-single-stock-etfs-and-leveraged-etfs.pdf\)](#)
- [13D-G, and 10B-1](#) [_\(/files/spotlight/iac/20230622-recommendation-regarding-sec-proposed-amendments-regulation-13d-g-proposed-rule-10b-1-and.pdf\)](#)
- [Registered Investment Adviser Oversight](#) [_\(/files/spotlight/iac/20230622-recommendation-regarding-ria-oversight.pdf\)](#)
- [Customer Account Statements](#) [_\(/files/20230302-recommendation-customer-account-statements.pdf\)](#)
- [Cybersecurity Risk Management, Strategy, Governance, and Incident Disclosure](#) [_\(/spotlight/investor-advisory-committee-2012/20220921-cybersecurity-disclosure-recommendation.pdf\)](#)

- [Climate-Related Disclosure Rule](#) [\(/spotlight/investor-advisory-committee-2012/20220921-climate-related-disclosure-recommendation.pdf\)](#)
- [Accounting Modernization](#) [\(/spotlight/investor-advisory-committee-2012/20220921-accounting-recommendation.pdf\)](#)
- [Protecting Older Adult Investors](#) [\(/spotlight/investor-advisory-committee-2012/20220609-protecting-older-investor-recommendation.pdf\)](#)
- [Investor Advocacy Clinic Funding](#) [\(/spotlight/investor-advisory-committee-2012/20220609-investor-clinic-recommendation.pdf\)](#)
- [Individual Retirement Accounts](#) [\(/spotlight/investor-advisory-committee-2012/20211202-ira-recommendation.pdf\)](#)
- [Rule 10b5-1 Plans](#) [\(/spotlight/investor-advisory-committee-2012/20210916-10b5-1-recommendation.pdf\)](#)
- [Special Purpose Acquisition Companies \(SPACs\)](#) [\(/spotlight/investor-advisory-committee-2012/20210909-spac-recommendation.pdf\)](#)
- [Minority and Underserved Inclusion](#) [\(/spotlight/investor-advisory-committee-2012/20210311-minority-and-underserved-inclusion-recommendation.pdf\)](#)
- [Credit Rating Agencies](#) [\(/spotlight/investor-advisory-committee-2012/20210311-credit-rating-agencies-recommendation.pdf\)](#)
- [Disclosure Effectiveness](#) [\(/spotlight/investor-advisory-committee-2012/disclosure-effectiveness.pdf\)](#)
- [Accounting and Financial Disclosure](#) [\(/spotlight/investor-advisory-committee-2012/accounting-and-financial-disclosure.pdf\)](#)
- [ESG Disclosure](#) [\(/spotlight/investor-advisory-committee-2012/esg-disclosure.pdf\)](#)
- [SEC Guidance and Rule Proposals on Proxy Advisors and Shareholder Proposals](#) [\(/spotlight/investor-advisory-committee-2012/sec-guidance-and-rule-proposals-on-proxy-advisors-and-shareholder-proposals.pdf\)](#)
- [Exchange Rebate Tier Disclosure](#) [\(/spotlight/investor-advisory-committee-2012/exchange-rebate-tier-disclosure.pdf\)](#)
- [Proxy Plumbing](#) [\(/spotlight/investor-advisory-committee-2012/iac-recommendation-proxy-plumbing.pdf\)](#)
- [Investment Research in a Post-MiFID II World](#) [\(/spotlight/investor-advisory-committee-2012/investment-research-post-mfid-ii-world.pdf\)](#)
- [Human Capital Management Disclosure](#) [\(/spotlight/investor-advisory-committee-2012/human-capital-disclosure-recommendation.pdf\)](#)

- Proposed Regulation Best Interest [_\(/spotlight/investor-advisory-committee-2012/recommendation-on-proposed-reg-bi.pdf\)](https://www.sec.gov/spotlight/investor-advisory-committee-2012/recommendation-on-proposed-reg-bi.pdf).
- Transaction Fee Pilot for NMS Stocks [_\(/spotlight/investor-advisory-committee-2012/recommendation-transaction-fee-pilot-for-nms-stocks.pdf\)](https://www.sec.gov/spotlight/investor-advisory-committee-2012/recommendation-transaction-fee-pilot-for-nms-stocks.pdf).
- Select Enhancements to Protect Retail Investors in Municipal and Corporate Bonds [_\(/spotlight/investor-advisory-committee-2012/select-enhancements-to-protect-retail-investors-in-municipal-and-corporate-bonds-recommendation.pdf\)](https://www.sec.gov/spotlight/investor-advisory-committee-2012/select-enhancements-to-protect-retail-investors-in-municipal-and-corporate-bonds-recommendation.pdf).
- Financial Support for Law School Clinics that Support Investors [_\(/spotlight/investor-advisory-committee-2012/law-clinics-recommendation.pdf\)](https://www.sec.gov/spotlight/investor-advisory-committee-2012/law-clinics-recommendation.pdf).
- On Dual Class and Other Entrenching Governance Structures in Public Companies [_\(/spotlight/investor-advisory-committee-2012/recommendation-on-dual-classes-shares.pdf\)](https://www.sec.gov/spotlight/investor-advisory-committee-2012/recommendation-on-dual-classes-shares.pdf).
- Promotion of Electronic Delivery and Development of a Summary Disclosure Document for Delivery of Investment Company Shareholder Reports [_\(https://www.sec.gov/spotlight/investor-advisory-committee-2012/recommendation-promotion-of-electronic-delivery-and-development.pdf\)](https://www.sec.gov/spotlight/investor-advisory-committee-2012/recommendation-promotion-of-electronic-delivery-and-development.pdf).
- To Enhance Information for Bond Market Investors [_\(https://www.sec.gov/spotlight/investor-advisory-committee-2012/recommendation-enhance-information-bond-market-investors-060716.pdf\)](https://www.sec.gov/spotlight/investor-advisory-committee-2012/recommendation-enhance-information-bond-market-investors-060716.pdf).
- Mutual Fund Cost Disclosure [_\(https://www.sec.gov/spotlight/investor-advisory-committee-2012/recommendation-mf-fee-disclosure-041916.pdf\)](https://www.sec.gov/spotlight/investor-advisory-committee-2012/recommendation-mf-fee-disclosure-041916.pdf).
- Empowering Elders and Other Investors: Background Checks in the Financial Markets [_\(/spotlight/investor-advisory-committee-2012/final_iac_backgroundcheck_recommendation_071615.pdf\)](https://www.sec.gov/spotlight/investor-advisory-committee-2012/final_iac_backgroundcheck_recommendation_071615.pdf).
- Shortening the Trade Settlement Cycle in U.S. Financial Markets [_\(/spotlight/investor-advisory-committee-2012/settlement-cycle-recommendation-final.pdf\)](https://www.sec.gov/spotlight/investor-advisory-committee-2012/settlement-cycle-recommendation-final.pdf).
- Accredited Investor Definition [_\(/spotlight/investor-advisory-committee-2012/investment-advisor-accredited-definition.pdf\)](https://www.sec.gov/spotlight/investor-advisory-committee-2012/investment-advisor-accredited-definition.pdf).
- Impartiality in the Disclosure of Preliminary Voting Results [_\(/spotlight/investor-advisory-committee-2012/impartiality-disclosure-prelim-voting-results.pdf\)](https://www.sec.gov/spotlight/investor-advisory-committee-2012/impartiality-disclosure-prelim-voting-results.pdf).
- Crowdfunding [_\(/spotlight/investor-advisory-committee-2012/investment-adviser-crowdfunding-recommendation.pdf\)](https://www.sec.gov/spotlight/investor-advisory-committee-2012/investment-adviser-crowdfunding-recommendation.pdf).
- Decimalization and Tick Sizes [_\(/spotlight/investor-advisory-committee-2012/investment-adviser-decimalization-recommendation.pdf\)](https://www.sec.gov/spotlight/investor-advisory-committee-2012/investment-adviser-decimalization-recommendation.pdf).

- [Legislation to Fund Investment Adviser Examinations](#) [\(/spotlight/investor-advisory-committee-2012/investment-adviser-examinations-recommendation-2013.pdf\)](#)
- [Broker-Dealer Fiduciary Duty](#) [\(/spotlight/investor-advisory-committee-2012/fiduciary-duty-recommendation-2013.pdf\)](#)
- [Universal Proxy](#) [\(/spotlight/investor-advisory-committee-2012/universal-proxy-recommendation-072613.pdf\)](#)
- [Data Tagging](#) [\(/spotlight/investor-advisory-committee-2012/data-tagging-resolution-72513.pdf\)](#)
- [Target Date Mutual Funds](#) [\(/spotlight/investor-advisory-committee-2012/iac-recommendation-target-date-fund.pdf\)](#)
- [General Solicitation and Advertising](#) [\(/spotlight/investor-advisory-committee-2012/iac-general-solicitation-advertising-recommendations.pdf\)](#)

Other Actions

- [Letter to SEC re: Diversity Self-Assessment Tool](#) [\(/files/spotlight/iac/comment-letter-iac-omwi-02232024.pdf\)](#)
- [Letter to SEC re: Cryptocurrency](#) [\(/files/20230406-iac-letter-cryptocurrency.pdf\)](#)
- [Letter to SEC re: Ethical AI](#) [\(/files/20230406-iac-letter-ethical-ai.pdf\)](#)
- [Investor as Owner Subcommittee Letter to FASB re: Corporate Income Taxes](#) [\(/spotlight/investor-advisory-committee-2012/iac-letter-fasb-corporate-income-taxes-07121Z.pdf\)](#)
- [Investor as Owner Subcommittee Letter re: Subpart 400 of Reg S-K and Study on Modernization and Simplification](#) [\(/spotlight/investor-advisory-committee-2012/iac-letter-investor-as-owner-subpart-400reg-sk-112216.pdf\)](#)
- [Letter on Regulation S-K Concept Release and Disclosure Effectiveness](#) [\(/spotlight/investor-advisory-committee-2012/iac-approved-letter-reg-sk-comment-letter-062016.pdf\)](#)
- [Letter to FASB re: Materiality](#) [\(/spotlight/investor-advisory-committee-2012/iac-letter-fasb-materiality-012116.pdf\)](#)

Organization

- [Charter](/spotlight/investor-advisory-committee-2012/iac-charter.pdf) [\(/spotlight/investor-advisory-committee-2012/iac-charter.pdf\)](/spotlight/investor-advisory-committee-2012/iac-charter.pdf).
- [By-Laws](/spotlight/investor-advisory-committee-2012/iac-bylaws.pdf) [\(/spotlight/investor-advisory-committee-2012/iac-bylaws.pdf\)](/spotlight/investor-advisory-committee-2012/iac-bylaws.pdf).
- [Subcommittees](/about/advisory-committees/investor-advisory-committee/subcommittees-investor-advisory-committee) [\(/about/advisory-committees/investor-advisory-committee/subcommittees-investor-advisory-committee\)](/about/advisory-committees/investor-advisory-committee/subcommittees-investor-advisory-committee)

Meetings

[Tentative Schedule for 2026](/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-schedule) [\(/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-schedule\)](/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-schedule).

March 12, 2026

- [Sunshine Act Notice](/newsroom/meetings-events/sunshine-act-notice-iac-031226) [\(/newsroom/meetings-events/sunshine-act-notice-iac-031226\)](/newsroom/meetings-events/sunshine-act-notice-iac-031226).
- [Agenda](/about/advisory-committees/investor-advisory-committee/iac031226-agenda) [\(/about/advisory-committees/investor-advisory-committee/iac031226-agenda\)](/about/advisory-committees/investor-advisory-committee/iac031226-agenda).
- [Draft Recommendations Regarding the Tokenization of Equity Securities](/files/recommendation-market-structure-subcommittee-tokenization-equity-securities-022626.pdf) [\(/files/recommendation-market-structure-subcommittee-tokenization-equity-securities-022626.pdf\)](/files/recommendation-market-structure-subcommittee-tokenization-equity-securities-022626.pdf).

December 4, 2025

- [Sunshine Act Notice](/newsroom/meetings-events/sunshine-act-notice-iac-120425) [\(/newsroom/meetings-events/sunshine-act-notice-iac-120425\)](/newsroom/meetings-events/sunshine-act-notice-iac-120425).
- [Agenda](/about/advisory-committees/investor-advisory-committee/iac120425-agenda) [\(/about/advisory-committees/investor-advisory-committee/iac120425-agenda\)](/about/advisory-committees/investor-advisory-committee/iac120425-agenda).
- [Draft Recommendation Regarding the Disclosure of Artificial Intelligence's Impact on Operations](/files/sec-iac-artificial-intelligence-recommendation-111825.pdf) [\(/files/sec-iac-artificial-intelligence-recommendation-111825.pdf\)](/files/sec-iac-artificial-intelligence-recommendation-111825.pdf).
- [Statement of Dissent Regarding Disclosure Recommendation \(John Gulliver\)](/files/john-gulliver-written-statement-dissent-ai-20251204.pdf) [\(/files/john-gulliver-written-statement-dissent-ai-20251204.pdf\)](/files/john-gulliver-written-statement-dissent-ai-20251204.pdf).
- [Webcast Archive \(Part 1\)](https://youtu.be/iUZwOpFSq2s) [\(/https://youtu.be/iUZwOpFSq2s\)](https://youtu.be/iUZwOpFSq2s).

- [Webcast Archive \(Part 2\)](https://youtu.be/cMc18A_ENnE) [_ \(https://youtu.be/cMc18A_ENnE\)](https://youtu.be/cMc18A_ENnE)

September 18, 2025

- [Sunshine Act Notice](/newsroom/meetings-events/sunshine-act-notice-iac-091825) [\(/newsroom/meetings-events/sunshine-act-notice-iac-091825\)](/newsroom/meetings-events/sunshine-act-notice-iac-091825)
- [Agenda](/about/advisory-committees/investor-advisory-committee/iac091825-agenda) [\(/about/advisory-committees/investor-advisory-committee/iac091825-agenda\)](/about/advisory-committees/investor-advisory-committee/iac091825-agenda)
- [Draft Recommendation Regarding Retail Investor Access to Private Market Assets](/files/iac-private-markets-091125.pdf) [_ \(/files/iac-private-markets-091125.pdf\)](/files/iac-private-markets-091125.pdf)
- [Webcast Archive \(Part 1\)](https://youtu.be/jBlBZPwNcEY) [_ \(https://youtu.be/jBlBZPwNcEY\)](https://youtu.be/jBlBZPwNcEY)
- [Webcast Archive \(Part 2\)](https://youtu.be/lrnVmo3_Sdg) [_ \(https://youtu.be/lrnVmo3_Sdg\)](https://youtu.be/lrnVmo3_Sdg)
- [Minutes](/files/iac-09182025-minutes.pdf) [_ \(/files/iac-09182025-minutes.pdf\)](/files/iac-09182025-minutes.pdf)

June 5, 2025

- [Sunshine Act Notice](/newsroom/meetings-events/sunshine-act-notice-iac-06052025) [\(/newsroom/meetings-events/sunshine-act-notice-iac-06052025\)](/newsroom/meetings-events/sunshine-act-notice-iac-06052025)
- [Agenda](/about/advisory-committees/investor-advisory-committee/iac060525-agenda) [\(/about/advisory-committees/investor-advisory-committee/iac060525-agenda\)](/about/advisory-committees/investor-advisory-committee/iac060525-agenda)
- [Draft Recommendation Regarding the Use of Mandatory Arbitration Clauses By Registered Investment Advisers](/files/investment-adviser-arbitration-recommendation-052125.pdf) [_ \(/files/investment-adviser-arbitration-recommendation-052125.pdf\)](/files/investment-adviser-arbitration-recommendation-052125.pdf)
- [Webcast Archive \(Part 1\)](https://youtu.be/WvThRs6MkqY) [_ \(https://youtu.be/WvThRs6MkqY\)](https://youtu.be/WvThRs6MkqY)
- [Webcast Archive \(Part 2\)](https://youtu.be/A1TdQNTY_3U) [_ \(https://youtu.be/A1TdQNTY_3U\)](https://youtu.be/A1TdQNTY_3U)
- [Minutes](/files/iac-060525-minutes.pdf) [_ \(/files/iac-060525-minutes.pdf\)](/files/iac-060525-minutes.pdf)

March 6, 2025

- [Sunshine Act Notice](/newsroom/meetings-events/sunshine-act-notice-iac-030625) [\(/newsroom/meetings-events/sunshine-act-notice-iac-030625\)](/newsroom/meetings-events/sunshine-act-notice-iac-030625)
- [Agenda](/about/advisory-committees/investor-advisory-committee/iac030625-agenda) [\(/about/advisory-committees/investor-advisory-committee/iac030625-agenda\)](/about/advisory-committees/investor-advisory-committee/iac030625-agenda)
- [Draft Recommendation Regarding Investors' Ability to Bring Claims Under Section 11 of the Securities Act of 1933](/files/iac-proposed-slack-recommendation-021825.pdf) [_ \(/files/iac-proposed-slack-recommendation-021825.pdf\)](/files/iac-proposed-slack-recommendation-021825.pdf)
- [Webcast Archive \(Part 1\)](https://youtu.be/1sCKA5Nd4z4) [_ \(https://youtu.be/1sCKA5Nd4z4\)](https://youtu.be/1sCKA5Nd4z4)
- [Webcast Archive \(Part 2\)](https://youtu.be/-Z0MpgadFnQ) [_ \(https://youtu.be/-Z0MpgadFnQ\)](https://youtu.be/-Z0MpgadFnQ)
- [Minutes](/files/iac-030625-minutes.pdf) [_ \(/files/iac-030625-minutes.pdf\)](/files/iac-030625-minutes.pdf)

December 10, 2024

- [Sunshine Act Notice](/newsroom/meetings-events/sunshine-act-notice-iac-121024) [\(/newsroom/meetings-events/sunshine-act-notice-iac-121024\)](/newsroom/meetings-events/sunshine-act-notice-iac-121024)

- [Agenda \(/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-meeting-agenda-2024\)](/about/advisory-committees/investor-advisory-committee/investor-advisory-committee-meeting-agenda-2024).
- [Draft Recommendation regarding the Protection of Investors in their Interactions with Finfluencers \(/files/sec-iac-finfluencer-recommendation-11222024.pdf\)](/files/sec-iac-finfluencer-recommendation-11222024.pdf).
- [Webcast Archive \(https://youtu.be/Kjhjyd6ve4Y\)](https://youtu.be/Kjhjyd6ve4Y) (Part 1)
- [Webcast Archive \(https://youtu.be/TCZlzynVJCM\)](https://youtu.be/TCZlzynVJCM) (Part 2)
- [Minutes \(/files/iac-121024-minutes.pdf\)](/files/iac-121024-minutes.pdf).

September 19, 2024

- [Sunshine Act Notice \(/newsroom/meetings-events/sunshine-act-notice-iac-091924\)](/newsroom/meetings-events/sunshine-act-notice-iac-091924).
- [Agenda \(/about/iac091924-agenda\)](/about/iac091924-agenda).
- [Webcast Archive \(https://youtu.be/6G4KQBUR-oM\)](https://youtu.be/6G4KQBUR-oM) (Part 1)
- [Webcast Archive \(https://youtu.be/dCGGF-kDtL0\)](https://youtu.be/dCGGF-kDtL0) (Part 2)
- [Minutes \(/files/iac091924-minutes.pdf\)](/files/iac091924-minutes.pdf).

June 6, 2024

- [Sunshine Act Notice \(/newsroom/meetings-events/sunshine-act-notice-iac-060624\)](/newsroom/meetings-events/sunshine-act-notice-iac-060624).
- [Agenda \(/about/advisory-committees/investor-advisory-committee/iac060624-agenda\)](/about/advisory-committees/investor-advisory-committee/iac060624-agenda).
- [Draft Recommendation regarding the Protection of Self-Directed Investors when Trading Complex Products and Utilizing Complex Strategies \(/files/iac-060624-rec-re-self-directed-investors.pdf\)](/files/iac-060624-rec-re-self-directed-investors.pdf).
- [Draft Recommendation regarding Financial Literacy and Investor Education \(/files/iac-060624-rec-re-inv-ed.pdf\)](/files/iac-060624-rec-re-inv-ed.pdf).
- [Webcast Archive \(https://youtu.be/US2LndV9oKA\)](https://youtu.be/US2LndV9oKA) (Part 1)
- [Webcast Archive \(https://youtu.be/fR4etJrt_J4\)](https://youtu.be/fR4etJrt_J4) (Part 2)
- [Minutes \(/files/iac060624-minutes.pdf\)](/files/iac060624-minutes.pdf).

March 7, 2024

- [Sunshine Act Notice \(/newsroom/meetings-events/sunshine-act-notice-03-07-24\)](/newsroom/meetings-events/sunshine-act-notice-03-07-24).
- [Agenda \(/advocate/iac030724-agenda\)](/advocate/iac030724-agenda).
- [Updated Draft recommendation regarding Digital Engagement Practices \(February 2024\) \(/files/20240214-draft-recommendation-use-dep.pdf\)](/files/20240214-draft-recommendation-use-dep.pdf).

- [Statement of Dissent Regarding Digital Engagement Practices Recommendation \(Van Buskirk\)](#) [_\(/files/leslie-van-buskirk-written-statement-3724-f.pdf\)](#).
- [Statement of Dissent Regarding Digital Engagement Practices Recommendation \(Martin Firvida\)](#) [_\(/files/firvida-investor-advocate-dissent.pdf\)](#).
- [Webcast Archive](#) [_\(/https://youtu.be/jXTK5iCdz4A\)](#) (Part 1)
- [Webcast Archive](#) [_\(/https://youtu.be/Q3x5j8wKglE\)](#) (Part 2)
- [Minutes](#) [_\(/files/iac030724-minutes.pdf\)](#).

December 7, 2023

- [Sunshine Act Notice](#) [_\(/newsroom/meetings-events/sunshine-act-notice-iac-12072023\)](#).
- [Agenda](#) [_\(/advocate/iac120723-agenda\)](#).
- [Draft recommendation regarding Digital Engagement Practices \(discussed during the December 7, 2023 IAC meeting, but superseded by the February 2024 updated draft\)](#) [_\(/files/20231117-recommendation-use-dep.pdf\)](#).
- [Webcast Archive](#) [_\(/https://youtu.be/jfj34uZkiJA\)](#) (Part 1)
- [Webcast Archive](#) [_\(/https://youtu.be/2LQByuBK4I\)](#) (Part 2)
- [Minutes](#) [_\(/files/iac-meeting-minutes-12072023.pdf\)](#).

September 21, 2023

- [Sunshine Act Notice](#) [_\(/https://www.sec.gov/sunshine-act-notices/sunshine-act-notice-iac-092123\)](#).
- [Agenda](#) [_\(/about/advisory-committees/investor-advisory-committee/iac092123-agenda\)](#).
- [Draft Recommendation regarding Swing Pricing](#) [_\(/files/20230913-draft-recommendation-regarding-swing-pricing.pdf\)](#).
- [Draft Recommendation regarding Human Capital Management Disclosure](#) [_\(/files/20230914-draft-recommendation-regarding-hcm.pdf\)](#).
- [Webcast Archive](#) [_\(/https://youtu.be/mko5hUzhtRw\)](#) (Part 1)
- [Webcast Archive](#) [_\(/https://youtu.be/x3PAWKr_Lyk\)](#) (Part 2)
- [Minutes](#) [_\(/files/iac092123-minutes.pdf\)](#).

June 22, 2023

- [Sunshine Act Notice](#) [_\(/newsroom/meetings-events/sunshine-act-notice-iac-062223\)](#).

- [Agenda \(/spotlight/investor-advisory-committee/iac062223-agenda\)](/spotlight/investor-advisory-committee/iac062223-agenda)
- [Draft Recommendation on Single-Stock ETFs \(/files/20230616-recommendation-single-stock-etfs-and-leveraged-etfs.pdf\)](/files/20230616-recommendation-single-stock-etfs-and-leveraged-etfs.pdf)
- [Draft Recommendation on Reg 13D-G, 10B-1, and 9j-1 \(/files/20230609-recommendation-regs-13d-g-10b-1-and-9j-1.pdf\)](/files/20230609-recommendation-regs-13d-g-10b-1-and-9j-1.pdf)
- [Draft Recommendation on Registered Investment Adviser Oversight \(/files/20230605-recommendation-ria-examination.pdf\)](/files/20230605-recommendation-ria-examination.pdf)
- [Webcast Archive - Part 1 \(https://youtu.be/QTvAAbPUTxY\)](https://youtu.be/QTvAAbPUTxY)
- [Webcast Archive - Part 2 \(https://youtu.be/LArhvYbxaBo\)](https://youtu.be/LArhvYbxaBo)
- [Minutes \(/files/iac062223-minutes.pdf\)](/files/iac062223-minutes.pdf)

March 2, 2023

- [Sunshine Act Notice \(/newsroom/meetings-events/sunshine-act-notice-iac-030223\)](/newsroom/meetings-events/sunshine-act-notice-iac-030223)
- [Agenda \(/spotlight/investor-advisory-committee/iac030223-agenda.htm\)](/spotlight/investor-advisory-committee/iac030223-agenda.htm)
- [Draft Recommendation on Account Statements \(/files/20230221-recommendation-account-statements.pdf\)](/files/20230221-recommendation-account-statements.pdf)
- [Webcast Archive - Part 1 \(https://youtu.be/v7t3vwxHwvg\)](https://youtu.be/v7t3vwxHwvg)
- [Webcast Archive - Part 2 \(https://youtu.be/h8RFxcocg_g\)](https://youtu.be/h8RFxcocg_g)
- [Minutes \(/files/iac030223-minutes.pdf\)](/files/iac030223-minutes.pdf)

[Meeting Archives \(/spotlight/investor-advisory-committee-archive\)](/spotlight/investor-advisory-committee-archive)

Last Reviewed or Updated: March 5, 2026

RESOURCES

- **Submit Comments** (<https://www.sec.gov/comments/265-28/investor-advisory-committee-meeting-notice-meeting-securities-and-exchange-1>)

- **Comments Received** (<https://www.sec.gov/comments/265-28/265-28.shtml>)