

MEMORANDUM

TO: File No. 4-606
File on Study on Enhancing Investment Adviser Examinations Pursuant to
Section 914 of the Dodd-Frank Act
File on the Commission Organizational Study and Reform Pursuant to
Section 967 of the Dodd-Frank Act

FROM: Christopher A. Appel
Office of Commissioner Luis A. Aguilar

DATE: November 15, 2010

SUBJECT: Meeting with Representatives of the Financial Planning Coalition

On November 15, 2010, Commissioner Aguilar met with the following representatives of the Financial Planning Coalition:

Susan MacMichael John- National Association of Personal Financial Advisors,
Chair & Financial Focus, Inc, Founder and President
Kevin Keller- Certified Financial Planner Board of Standards, Chief Executive
Officer
Marv Tuttle- Financial Planning Association, Executive Director & Chief
Executive Officer
Marilyn Mohrman-Gillis- Certified Financial Planner Board of Standards,
Managing Director, Public Policy and Communications
Dan Barry- Financial Planning Association, Managing Director, Government
Relations
J. Barron Knight- Certified Financial Planner Board of Standards, Government
Affairs Counsel, Public Policy & Communications

The discussion included, among other things, the Commission studies regarding Obligations of Brokers, Dealers, and Investment Advisers, on Enhancing Investment Adviser Examinations, and on the independent consultant study on the Commission's oversight of and reliance on self-regulatory organizations.