

MEMORANDUM

TO: File

FROM: Jennifer B. McHugh

DATE: September 13, 2013

RE: Request for Information on Issues Regarding Investment Advisers and Broker-Dealers

On September 5, 2013, Mary Jo White, Chair; Craig Lewis, Chief Economist and Director of the Division of Economic and Risk Analysis; John Ramsay, Acting Director, Division of Trading and Markets; David Grim, Deputy Director, Division of Investment Management; Liban Jama, Senior Advisor to the Chair; and Jennifer McHugh, Senior Advisor to the Chair, met with the following organizations

- CFP Board
 - Marilyn Mohrman-Gillis, Managing Director, Public Policy and Communications
 - Todd Cranford, Director of Government Affairs
- AARP
 - Ryan Wilson, Senior Strategic Policy Advisor
- NASAA
 - Mike Canning, Director of Policy
 - Joey Brady, General Counsel
 - Valerie Mirko, Assistant General Counsel
- Investment Adviser Association
 - Neil Simon
- Financial Planning Association
 - Chris Cormier, Lobbyist for FPA
- AICPA
 - Andrea Millar, Senior Technical Manager – Personal Financial Planning Division

During the meeting, the organizations focused on issues discussed in their joint June 4, 2013 comment letter available at <http://www.sec.gov/comments/4-606/4606-3063.pdf>.