

MEMORANDUM

TO: Public Comment File on Comments on Measures to Facilitate Cross-Border Implementation of the European Union’s MiFID II’s Research Provisions

FROM: Mark Stewart, Attorney-Advisor, Division of Investment Management

RE: Meeting with Representatives of the Alternative Investment Management Association

DATE: December 12, 2022

On December 12, 2022, staff from the U.S. Securities and Exchange Commission (the “SEC”) met with representatives of the Alternative Investment Management Association (“AIMA”). Participants from the SEC’s Division of Investment Management included: William Birdthistle, Sarah ten Siethoff, Thoreau Bartmann, Melissa Harke, Jon Hertzke, Jennifer Porter, Rachel Loko, Elena Stojic, Frank Buda, Michelle Beck, Holly H. Miller, Jill Pritzker, Samuel Thomas, Christian Corkery, Robert Holowka, Christopher Chase, Sirimal Mukerjee, Marc Mehrespand, Dave Stevens, Adele Murray, Robert Shapiro, Anna Sandor, and Mark Stewart.

Participants from AIMA and its members included Daniel Austin, Milan Dalal, Alexander Grieve, Jiri Krol, Jack Wilkinson, and Jennifer Wood.

The participants discussed the SEC’s no-action relief regarding the implementation of the European Union’s Market’s in Financial Instruments Directive (“MiFID II”) research provisions.