On March 29, 2022, staff from the U.S. Securities and Exchange Commission (the “SEC”) held a videoconference with representatives of AIMA.

Participants included SEC staff from the Division of Investment Management: William Birdthistle (Director), Sarah ten Siethoff (Deputy Director), Jennifer Porter (Senior Policy Adviser), Elena Stojic (Senior Counsel), Melissa Roverts Harke (Senior Special Counsel), Christine Schleppegrell (Acting Branch Chief), Alexis Palascak (Senior Counsel), Lawrence Pace (Senior Counsel), Samuel Thomas (Senior Counsel), Thomas Strumpf (Senior Counsel), Robert McDavid Holowka (Attorney-Adviser), Jon Hertzke (Assistant Director), Roberta Ufford (Senior Special Counsel), and Timothy Dulaney (Senior Financial Analyst), as well as SEC staff from the Division of Economic and Risk Analysis: Charles Woodworth (Deputy Chief Counsel), Cindy Alexander (Senior Policy Adviser), and Ross Askanazi (Financial Economist), as well as representatives from AIMA:

- Simon Lorne - Millennium Management (Vice-Chairman and Chief Legal Officer)
- Stephen Berger - Citadel LLC (Managing Director, Government & Regulatory Policy)
- Darcy Bradbury - The DE Shaw Group (Managing Director)
- Piotr Kietlinski - The DE Shaw Group (Senior Vice President)
- Tracy Soehle - AMG Funds LLC (Managing Director and Senior Counsel)
- Jiří Król - AIMA (Deputy CEO and Global Head of Government Affairs)
- Jennifer Wood - AIMA (Managing Director and Global Head of Asset Management Regulation)
- Suzan Rose - AIMA (Senior Adviser)

Among other things, the participants discussed the SEC’s proposals titled “Amendments to Form PF to Require Current Reporting and Amend Reporting Requirements for Large Private Equity Advisers and Large Liquidity Fund Advisers,” set forth in Release No. IA-5950 (Jan. 26, 2022); “Private Fund Advisers; Documentation of Registered Investment Adviser Compliance Reviews,” set forth in Release No. IA-5955 (Feb. 9, 2022); and “Cybersecurity Risk Management for Investment Advisers, Registered Investment Companies, and Business
Development Companies” set forth in Release Nos. 33-11028, 34-94197; IA-5956; IC-34497 (Feb. 9, 2022).