

**MEMORANDUM**

**To:** Comment File – Private Fund Advisers; Documentation of Registered Investment Adviser Compliance Reviews  
*File No: S7-03-22*

**From:** Janna I. Berke, Counsel to Commissioner Caroline Crenshaw  
U.S. Securities and Exchange Commission

**Date:** August 21, 2023

**Re:** Meeting with Investment Adviser Association’s (“IAA”) Board of Governors

On June 14, 2022, Commissioner Crenshaw and her counsel Janna Berke met with the following members of the IAA Board of Governors:

<b>Name</b>	<b>Title</b>	<b>Firm</b>
Alison Baur	Deputy General Counsel	Franklin Templeton
Bill Roberts	Co-President	GW&K Investment Management
Bret Hester	Senior Managing Director	TIAA Investments
Cathy Halberstadt	Co-President & Co-Chief Executive Officer	Osterweis Capital Management
Charlie Mahar	CEO/Chief Investment Officer	Tealwood Assest Management
Joan Giardina	Principal	Chesley, Taft & Associates, L.L.C.
R. Kelly Williams	President & COO	Atlanta Capital Management Company,
Laura Drynan	Partner	Bourgeon Capital Management LLC
Mason King	Principal	Luther King Capital Management
Steve Wilkes	CEO and Portfolio Manager	Hutchinson Capital Management
Yvette Garcia	General Counsel & Secretary	Bessemer Investment Management LLC

The proposal entitled “Private Fund Advisers; Documentation of Registered Investment Adviser Compliance Reviews” was among the topics discussed.