

MEMORANDUM

May 9, 2018

To: File Nos. S7-07-18, S7-08-18, S7-09-18

From: John C. Cook
Senior Advisor to Chairman Clayton

Re: Standards of Conduct for Investment Professionals

On May 7, 2018, Sean Memon, Deputy Chief of Staff, and John Cook, Senior Advisor to the Chairman, met with Cristina Martin Firvida, Director of Financial Security & Consumer Affairs, AARP; Jasmine Vasquez, Senior Legislative Representative, AARP; and David Certner, Counsel & Legislative Policy Director, AARP.

The participants discussed, among other things, the Commission's proposed rules and interpretation relating to standards of conduct for investment professionals.