

## MEMORANDUM

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

**From:** Eric Diamond, Senior Advisor to Chairman Jay Clayton

**Re:** Standards of Conduct for Investment Professionals

**Date:** August 7, 2018

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On May 30, 2018, Chairman Jay Clayton, Lucas Moskowitz (Chief of Staff to Chairman Clayton) and Alan Cohen (Senior Policy Adviser to Chairman Clayton) met with the following representatives of the Financial Industry Regulatory Authority:

- Robert Cook (President and Chief Executive Officer)
- Robert Colby (Chief Legal Officer)

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