

## MEMORANDUM

**To:** Public Comment File on proposed Regulation Best Interest (File No. S7-07-18)

**From:** Elizabeth Blase, Counsel to Commissioner Elad L. Roisman

**Re:** Meeting with the Investment Adviser Association (“IAA”)

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On October 24, 2018, Commissioner Elad L. Roisman and his counsels (Elizabeth Blase, Christina Thomas, and Nicholas Losurdo) met with the following representatives of IAA:

- Karen Barr, President & CEO, IAA;
- Gail Bernstein, General Counsel, IAA;
- Neil Simon, VP Government Affairs, IAA;
- Sarah Buescher, Associate General Counsel, IAA;
- Karen Aspinall, Deputy General Counsel, PIMCO;
- Bob Grohowski, VP, Regulatory & Legislative Affairs, T. Rowe Price; and
- Mary Keefe, Director of Regulatory Affairs, Nuveen.

The participants discussed a number of issues related to the Commission’s proposed Regulation Best Interest and IAA’s comment letter on the same.