

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 CFA Institute (“CFA”)

On March 5, 2019, Commissioner Elad L. Roisman and his counsel Elizabeth Blase met with the following representatives of CFA:

- James C. Allen, Head, Capital Markets Policy – Americas; and
- Kurt Schact, Managing Director.

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