

MEMORANDUM

TO: File Nos. S7-07-18; S7-08-18

FROM: Adam B. Glazer
Counsel to Commissioner Hester M. Peirce

RE: Meeting with Representatives of Institute for Portfolio Alternatives (“IPA”)

DATE: April 11, 2019

On April 9, 2019, Commissioner Hester M. Peirce and her legal advisor, Adam Glazer, met with the following representatives of IPA:

- Anthony Chereso, President & CEO;
- Anya Coverman, Senior Vice President, Government Affairs and General Counsel;
- Mark Goldberg, Executive Vice President, Griffin Capital Company;
- Mark Quinn, Director of Regulatory Affairs, Cetera Financial Group;
- Trisha Miller, Consultant;
- Michael Komenda, General Counsel, Public Funds, CIM Group;
- Chris McCannell, GrayRobinson; and
- Greg Mesack, GrayRobinson.

The participants discussed, among other things, the Commission’s proposed new rule, Regulation Best Interest, in Securities Exchange Act Release No. 83062 (Apr. 18, 2018) and proposed new form, Form CRS, in Securities Exchange Act Release No. 83063 (Apr. 18, 2018).