

MEMORANDUM

To: Public Comment File on proposed Regulation Best Interest (File No. S7-07-18) and proposed Form CRS Relationship Summary (File No. S7-08-18)

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

Re: Meeting with the Institute of Portfolio Alternatives (“IPA”)

On April 9, 2019, Commissioner Elad L. Roisman and Elizabeth Blase met with the following representatives of IPA:

- Tony Chereso, IPA President & CEO;
- Anya Coverman, SVP, Government Affairs and General Counsel;
- Mark Goldberg, EVP, Griffin Capital Company;
- Mark Quinn, Director of Regulatory Affairs, Cetera Financial Group;
- Trisha Miller, consultant and formerly with Starwood Capital;
- Michael Komenda, General Counsel, Public Funds, CIM Group;
- Chris McCannell, GrayRobinson; and
- Greg Mesack, GrayRobinson.

The participants discussed a number of issues related to the Commission’s proposed Regulation Best Interest and proposed Form CRS Relationship Summary and IPA’s comment letters on the same.