

MEMORANDUM

TO: File Nos. S7-08-18; S7-09-18

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

RE: Meeting with Representatives of the Investments & Wealth Institute

DATE: October 30, 2018

On October 30, 2018, Adam Glazer, legal advisor to Commissioner Hester M. Peirce, met with the following representatives of the Investments & Wealth Institute:

- Sean R. Walters, CAE, Chief Executive Officer; and
- Duane Thompson, AIFA®, Potomac Strategies LLC.

The participants discussed, among other things, the Commission's proposals in Securities Exchange Act Release No. 83063 (Apr. 18, 2018); and Investment Advisers Act Release No. 4889 (Apr. 18, 2018).