

MEMORANDUM

To: File Nos. S7-08-20, S7-21-19
From: Kimberly Hamm, Office of Chairman Jay Clayton
Date: September 14, 2020
Re: Meeting with Managed Funds Association

On September 14, 2020, Sean Memon, Kim Hamm and Matt Cook of the Office of the Chairman met with Jennifer Han, Managing Director & Counsel, Regulatory Affairs, of MFA.

The meeting participants discussed, among other things, the proposed rule amendments to the reporting threshold for Form 13F reports by institutional investment managers, and the proposed rules relating to investment adviser advertisements and compensation for solicitations.