

MEMORANDUM

To: File Nos. S7-03-22; S7-08-22; S7-14-22; S7-18-21

From: William Middlebrooks, Counsel to Commissioner Hester M. Peirce

Re: Meeting with Members of the Alternative Investment Management Association (AIMA)

On 5 May, 2022, Commissioner Hester Peirce, and Richard Gabbert and William Middlebrooks, Counsels to Commissioner Peirce, met with the following staff and members from AIMA:

- Veena Malpani - Regulatory Compliance Counsel & Compliance Officer, Marshall Wace;
- Piotr Kietlinski – Senior Vice President, DE Shaw;
- Simon Lorne - Vice-Chairman & Chief Legal Officer, Millennium Management;
- Karl Wachter – General Counsel, Magnetar Capital;
- Brendan Kalb – Global General Counsel, ExodusPoint Capital Management;
- Stephen Berger - Managing Director, Government & Regulatory Policy, Citadel LLC;
- Tracy Soehle - Managing Director and Sr. Counsel, AMG;
- Milan V. Dalal - Managing Partner, Tiger Hill Partners LLC.

Among the topics discussed were the Commission’s rulemaking proposals on:

- *Private Fund Advisers; Documentation of Registered Investment Adviser Compliance Reviews, set forth in Release No. IA-5955; File No. S7-03-22 (February 9, 2022);*
- *Short Position and Short Activity Reporting by Institutional Investment Managers; set forth in Release No. 34-94313; File No. S7-08-22 (February 25, 2022);*
- *Rules Relating to Security-Based Swap Execution and Registration and Regulation of Security-Based Swap Execution Facilities; Release No. 34-94615; File No. S7-14-22; (April 6, 2022); and*
- *Reporting of Securities Loans; Release No. 34-93613; File No. S7-18-21] (November 18, 2021).*

