

MEMORANDUM

TO: File No. S7-21-19

FROM: Emily Rowland, Division of Investment Management

RE: Meeting with Representatives of FINRA

DATE: December 18, 2019

On Wednesday, December 4, 2019, representatives of the Securities and Exchange Commission (the “SEC”) participated in a meeting with representatives of FINRA. The SEC representatives present were Sarah ten Siethoff, Melissa Gainor, Melissa Harke, Thoreau Bartmann, Emily Rowland, James Maclean, and Matthew Cook from the Division of Investment Management, and; Alicia Goldin and Kelly Shoop from the Division of Trading and Markets. The FINRA representatives present were:

- Tom Pappas, Vice President, Advertising Regulation
- Joe Savage, Vice President, OGC Regulatory Analysis
- Angela Goelzer, Vice President, OGC Regulatory Analysis
- Amy Sochard, Senior Director, Advertising Regulation
- Gregg Riviello, Director, Advertising Regulation
- Pramit Das, Associate Director, Advertising Regulation
- Ira Gluck, Associate Director, Advertising Regulation

The participants discussed the SEC’s proposed rule relating to investment adviser advertisements.