

MEMORANDUM

To: File Nos. S7-21-19

From: Elizabeth Blase (Counsel to Commissioner Elad L. Roisman)

Re: Meeting with Representatives of the Investment Adviser Association (“IAA”)

On June 19, 2020, Commissioner Roisman, Elizabeth Blase met with the following representatives from the IAA:

- Karen Barr (IAA President and CEO);
- Laura Grossman (IAA Associate General Counsel);
- Sanjay Lamba (IAA Associate General Counsel); and
- Mike McGrath (K&L Gates)

Among the topics discussed were the Commission’s rulemaking proposal on Investment Adviser Advertisements; Compensation for Solicitations, set forth in Release No. IA-5407 (November 4, 2019).