

MEMORANDUM

To: File No. S7-21-19

From: Micah Hauptman  
Counsel to Commissioner Caroline A. Crenshaw  
U.S. Securities and Exchange Commission

Date: October 28, 2020

Re: Meeting with the Managed Funds Association (MFA)

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On October 28, 2020, Micah Hauptman, Counsel to Commissioner Crenshaw, met with Jennifer Han, Managing Director & Counsel, Regulatory Affairs, and Benjamin Allensworth, Managing Director & Counsel, Tax & Finance, for the Managed Funds Association.

Among the topics discussed was the Commission's rulemaking proposal on Investment Adviser Advertisements; Compensation for Solicitations set forth in Release No. IA-5407; File No. S7-21-19 (November 4, 2019).