

MEMORANDUM

To: File Nos. S7-21-19; S7-25-19; S7-22-19

From: Elizabeth Blase, Christina Thomas, and Ben Bernstein (Counsels to Commissioner Elad L. Roisman)

Re: Meeting with Representatives of Managed Funds Association (“MFA”)

On March 26, 2020, Commissioner Roisman, Elizabeth Blase, Christina Thomas, and Ben Bernstein met with the following representatives from the MFA:

- Darcy Bradbury, Managing Director, the D.E. Shaw group;
- Jeff Cook-McCormac, Head of Public Affairs, Third Point LLC;
- Helene Glotzer, Chief Compliance Officer, Bridgewater Associates, LP;
- Noah Goldberg, Managing Director & Senior Deputy General Counsel, Citadel LLC;
- Mike Kitson, Compliance Associate & Counsel, Bridgewater Associates, LP;
- Hunter Landrum, Government Affairs Counsel, Two Sigma Investments, LP;
- Gil Raviv, Global General Counsel, Millennium Management LLC;
- Benjamin Allensworth, Associate General Counsel, MFA;
- Mark Epley, Executive Vice President & Managing Director, General Counsel, MFA;
- David Landers, Executive Vice President & Managing Director, Government Relations, MFA;
- Carlotta King, Associate General Counsel, MFA;
- Matthew Newell, Associate General Counsel, MFA;
- Jennifer Han, Associate General Counsel, MFA;
- Jiří Król, Director of Government and Regulatory Affairs, Alternative Investment Management Association;
- Suzan Rose, Alternative Investment Management Association.

Among the topics discussed were the following Commission rulemaking proposals:

- Investment Adviser Advertisements; Compensation for Solicitations, set forth in Release No. IA-5407 (November 4, 2019);
- Amending the “Accredited Investor” Definition, set forth in Release Nos. 33-10734; 34-87784 (December 18, 2019); and
- Amendments to Exemptions from the Proxy Rules for Proxy Voting Advice, set forth in Release No. 34-87457 (November 5, 2019).