

## MEMORANDUM

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

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

**Re:** Meeting with Representatives of MFA

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On 26 March, 2020, Commissioner Hester M. Peirce, Coy Garrison, and William Middlebrooks, Counsels to Commissioner Peirce, met with the following representatives from the Managed Funds Association:

- 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, Managed Funds Association
- Mark Epley, Executive Vice President & Managing Director, General Counsel, Managed Funds Association
- David Landers, Executive Vice President & Managing Director, Government Relations, Managed Funds Association
- Carlotta King, Associate General Counsel, Managed Funds Association
- Matthew Newell, Associate General Counsel, Managed Funds Association
- Jennifer Han, Associate General Counsel, Managed Funds Association
- 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).