

MEMORANDUM

TO: File Nos. S7-07-18, S7-08-18, S7-09-18

FROM: Lourdes Gonzalez, Assistant Chief Counsel, Division of Trading and Markets

RE: Meeting with Representatives of AIG

DATE: May 10, 2018

On Wednesday, May 9, 2018, representatives of the Securities and Exchange Commission (“SEC”) participated in a meeting with representatives of AIG. The SEC representatives were Roni Bergoffen, Lourdes Gonzalez, and Brett Redfearn from the Division of Trading and Markets. The AIG representatives present were: Manda Ghaferi, Vice President and Deputy General Counsel Consumer Insurance; Shawn Gallagher, Vice President and Deputy Head, Federal Government Affairs; and, Mary Beth Stanton, Invariant.

The participants discussed, among other things, the SEC’s proposed rules and interpretation relating to standards of conduct for investment professionals.