

MEMORANDUM

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

FROM: Marc Sharma, Chief Counsel
Office of the Investor Advocate

DATE: June 22, 2018

RE: Meeting with Investment Adviser Association

On June 21, 2018, Rick Fleming, Investor Advocate, and Marc Sharma, Chief Counsel of the Office of the Investor Advocate, met with the following representatives of the Investment Adviser Association:

- Karen Barr, President and Chief Executive Officer;
- Gail Bernstein, General Counsel;
- Monique Botkin, Associate General Counsel;
- Sarah Buescher, Associate General Counsel;
- Sanjay Lamba, Assistant General Counsel; and
- Neil Simon, Vice President of Government Relations.

Among the topics discussed were the Commission's proposed rules and interpretation relating to standards of conduct for investment professionals.