

MEMORANDUM

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

From: Eric Diamond, Senior Advisor to Chairman Jay Clayton

Re: Standards of Conduct for Investment Professionals

Date: October 30, 2018

On October 29, 2018, Alan Cohen (Senior Policy Advisor to Chairman Clayton) and Eric Diamond (Senior Advisor to Chairman Clayton) met with the following representatives of the Association for Advanced Life Underwriting (AALU):

- David Hollingsworth (Senior Director, Public Policy & Content Development, AALU)
- Bridget McNamara-Fenesy (President and CEO, M Holdings Securities, Inc.)
- Christie Corado (SVP & Insurance Practice Group Manager at BB&T)
- James Lundy (Partner, Drinker Biddle & Reath LLP)
- Bradford Campbell (Partner, Drinker Biddle & Reath LLP)

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