

TO: File Nos. S7-07-18, S7-08-18, S7-09-18
FROM: Elizabeth Miller, Division of Investment Management
RE: Meeting with Representatives of The Association for Advanced Life Underwriting (AALU)
DATE: October 30, 2018

On Monday, October 29, 2018, representatives of the Securities and Exchange Commission (“SEC”) participated in a meeting with representatives of AALU. The SEC representatives present in person were Jennifer Porter, Roberta Ufford and Elizabeth Miller from the Division of Investment Management; Emily Westerberg Russell, Stephen Benham, Bradford Bartels, Geeta Dhingra and Daniel Fisher from the Division of Trading and Markets; and Jennifer Juergens from the Division of Economic and Risk Analysis. AALU representatives present were Bridget McNamara-Fenesy (President and CEO, M Holding Securities, Inc.); Christie Corado (Senior Vice President, Insurance Practice Group Manager, BB&T Corporation); David Hollingsworth (Senior Director of Public Policy & Content Development, AALU); James G. Lundy (Partner, Drinker Biddle & Reath LLP); and Bradford P. Campbell (Partner, Drinker Biddle & Reath LLP).

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