

## MEMORANDUM

**To:** File Nos. S7-07-18; S7-08-18; S7-09-18

**From:** Nicholas J. Losurdo  
Counsel to Commissioner Elad L. Roisman

**Date:** December 10, 2018

**Re:** Meeting with Representatives from Securities Industry and Financial Markets Association (“SIFMA”) and SIFMA Member Firms

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On December 10, 2018, Commissioner Elad L. Roisman and his Counsel, Nicholas Losurdo, met with the following representatives from SIFMA and SIFMA member firms:

- Ken Bentsen, SIFMA
- Ira Hammerman, SIFMA
- Kevin Carroll, SIFMA
- Joseph Seidel, SIFMA
- Michael Crowl, UBS
- Joseph Sweeney, Ameriprise Financial

The topics discussed included the Commission’s proposed Regulation Best Interest. The attendees have submitted letters to the comment file on this matter.