

MEMORANDUM

TO: File
FROM: Richard Grant
RE: Meeting with Representatives of MFA
DATE: January 17, 2013

On January 17, 2013, representatives from the Securities and Exchange Commission (“SEC”) participated in a meeting with representatives from the Managed Funds Association (“MFA”). The SEC representatives present at the meeting were John Ramsay, Brian Bussey, Tom Kim, Peter Curley, Carol McGee, Lona Nallengara, Jennifer Zepralla, Dan Townly, Ted Yu, Jonathan Ingram, Vladimir Ivonov, Rachita Gullapalli, Andy Schoeffler, Charles Kwon, Dan Kahl, Dave Grim, Tram Nguyen, Scott Bauguess, and Richard Grant. The MFA representatives present at the meeting were Darcy Bradbury (D.E. Shaw & Co.), Gil Raviv (Millennium Management LLC), Adam Cooper (Citadel), David Hong (King Street), Kate Fulton (BlackRock), Michael Neus (Perry Capital LLC), Paul Roth (Schulte Roth & Zabel LLP), Stuart Kaswell (MFA), Carlotta King (MFA), Benjamin Allensworth (MFA), Matt Newell (MFA), Jennifer Han (MFA), and Laura Harper (MFA).

At the meeting, the MFA representatives provided their views and observations on the JOBS Act, derivatives clearing, and investment adviser regulations and examinations.

[No agenda available for this meeting.]