

MEMORANDUM

TO: File
FROM: Margaret Rubin
RE: Meeting with Representatives of Alternative Investment Management
Association (“AIMA”) and Crossroads Strategies, LLC
DATE: October 7, 2013

On October 3, 2013, representatives of the Securities and Exchange Commission (“SEC”) participated in a meeting with representatives of AIMA and Crossroads Strategies, LLC. The SEC representatives present at the meeting were Kim Allen, Mark Attar, Sherman Boone, Brian Bussey, Michael Didiuk, Richard Gabbert, Joshua Kans, Michael Macchiaroli, Eric Pan, Richard Rodgers, Margaret Rubin, and Babback Sabahi. The SEC representatives met with Adam Jacobs and Jennifer Wood from AIMA, and Stewart Hall from Crossroads Strategies, LLC.

Topics discussed at the meeting included the SEC’s cross-border proposal, including issues raised by the CFTC’s adoption of its final cross-border interpretive guidance and policy statement and by regulatory developments in the European Union.