

## MEMORANDUM

**To:** File No. S7-03-22

**From:** William Middlebrooks, Counsel to Commissioner Hester M. Peirce

**Re:** Meeting with Members of SIFMA-AMG

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On 4 April, 2022, Commissioner Hester Peirce, and William Middlebrooks, Counsel to Commissioner Peirce, met with the following staff and members of SIFMA-AMG:

- Minh Ta – The Carlyle Group – Vice President, Global Government Affairs
- David Plutzer - Goldman Sachs - General Counsel, Asset Management
- Teale Long - Neuberger Berman Group - Senior Vice President
- William Braverman - Neuberger Berman Group - Managing Director, General Counsel
- Arlene Morris – Morgan Stanley – Executive Director
- Mark Egnal - Morgan Stanley - Executive Director
- Lindsey Keljo -SIFMA - Head of Asset Management Group and Associate General Counsel
- Adam Kanter - Mayer Brown – Partner
- Tram Nguyen - Mayer Brown – Partner
- Kyle Russ - Goldman Sachs - Managing Director

Among the topics discussed were the Commission’s rulemaking proposal on the:

- *Private Fund Advisers; Documentation of Registered Investment Adviser Compliance Reviews, set forth in Release No. IA-5955; File No. S7-03-22 (February 9, 2022).*