

MEMORANDUM

To: File Nos. S7-03-22; S7-17-22; S7-16-22
From: William Middlebrooks, Counsel to Commissioner Hester M. Peirce
Re: Meeting with CompliGlobe Ltd and others

On 13 Sept, 2022, Commissioner Hester Peirce, along with Ammon Simon and William Middlebrooks, Counsels to Commissioner Peirce, met with the following individuals:

- Kerstin Mathias, Regulatory Affairs and Policy Director. City of London Corporation
- Alex Mills, Senior Global Trade Policy Adviser, City of London Corporation
- Richard Normington, Senior Policy Adviser – International, the Investment Association
- Mark Berman, CEO, CompliGlobe Ltd

Among the topics discussed were the Commission's rulemaking proposals on:

- *Private Fund Advisers; Documentation of Registered Investment Adviser Compliance Reviews;*
- *Enhanced Disclosures by Certain Investment Advisers and Investment Companies about Environmental, Social, and Governance Investment Practices; and*
- *Investment Company Names.*