

MEMORANDUM

December 4, 2023

TO: File Numbers S7-12-23, S7-04-23

FROM: Jacob D. Krawitz
Policy Counsel, Office of the Chair

RE: Meeting with Standards Board for Alternative Investments (“SBAI”)

On December 4, 2023, the staff members from the Office of the Chair listed below met with the following representatives of SBAI:

SEC Participants:

Heather Slavkin Corzo
Jacob Krawitz

SSGA Participants:

Mario Therrien (SBAI Chair, Head of Investment Funds and External Management CDPQ)
Chris Gradel (Co-Founder & CEO PAG)
Leda Braga (CEO Systematica Investments)
Richard Lightburn (CEO MKP Capital Management)
Jane Buchan (CEO Martlet Asset Management)
Priti Singh (Sr MD and Global Head of Capital Markets and Factor Investing, CPP Investments)
John Claisse (CEO Albourne Group)
Dale West (Sr MD, Public Markets Teacher Retirement System of Texas)
Stuart Fiertz (Co-Founder, President and Director of Research, Cheyne Capital Management)
Kate Squire (Head of Non-Financial Risk, Man Group)
Chris Bowlin (Sr Compliance Counsel, Teacher Retirement System of Texas)
Luana DiCandia (Director & Sr Legal Counsel, Ontario Teachers' Pension Plan)
Stephen Berger (MD, Government & Regulatory Policy, Citadel)
Brigid Rentoul (General Counsel, Winton Capital Management)
Irina Ludkovski (Partner, Operational Due Diligence, Albourne Partners)
Nick Stylianou (Senior Analyst, Albourne Partners)
Thomas Deinet (Executive Director, SBAI)
Brian Digney (Content & Research Director, SBAI)
Betsy Ewing (Advisor, SBAI)
Marissa Goodier (Content & Research Analyst, SBAI)

The participants discussed, among other topics, the Commission’s proposals relating to Conflicts of Interest Associated with the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers and Safeguarding Advisory Client Assets.