

To: File No.: S7-04-23
From: Office of Public Engagement
Date: 12/11/23
Re: Meeting with Investment Adviser Association

On December 11, 2023, Chair Gensler and SEC staff met with the Investment Adviser Association (IAA) to discuss the Safeguarding Advisory Client Assets proposal.

Members of the SEC included:

- Chair Gary Gensler
- Heather Slavkin Corzo, Director of Policy
- Jessica Wachter, Chief Economist and Director of the Division of Economic Risk and Analysis
- William Birdthistle, Director of the Division of Investment Management
- Jay Krawitz, Investment Management Counsel

Representatives from IAA included:

- Karen Barr, President & CEO, IAA
- Gail Bernstein, General Counsel, IAA
- Laura Grossman, Associate General Counsel, IAA
- Josh Levit, Chief Compliance Officer, Private Markets, Americas, Invesco
- Stephen Sullivan, Associate General Counsel, Invesco
- Jonathan Siegel, Vice President & Senior Legal Counsel, T. Rowe Price
- Gwen Reinke, Chief Compliance Officer, Vista Equity Partners
- Simi Singh, Head of Compliance and Senior Counsel for Private and Public Equity, Vista Equity Partners