

MEMORANDUM

TO: File Nos. S7-12-22, S7-32-10, S7-06-22, S7-03-22

FROM: Brandon Hill – Counsel to Commissioner Jaime Lizárraga – U.S. Securities and Exchange Commission

RE: Meeting with Managed Funds Association

DATE: November 8, 2022

On November 8, 2022, Commissioner Jaime Lizárraga, Parisa Haghshenas, Diem-Mi Lu, and Brandon Hill met with following representatives of Managed Funds Association:

Bryan Corbett, President and CEO
Jennifer Han, Chief Counsel
Jillian Flores, EVP Government Affairs

Among the topics discussed was the Commission's proposed rules on, Prohibition Against Fraud, Manipulation, or Deception in Connection with Security-Based Swaps; Prohibition against Undue Influence over Chief Compliance Officers; Position Reporting of Large Security-Based Swap Positions; Further Definition of "As a Part of a Regular Business" in the Definition of Dealer and Government Securities Dealer; Modernization of Beneficial Ownership Reporting and Private Fund Advisers; Documentation of Registered Investment Adviser Compliance Reviews.