

## MEMORANDUM

**To:** File No. S7-21-19  
**From:** William Middlebrooks, Counsel to Commissioner Hester M. Peirce  
**Re:** Meeting with Robert Plaze

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On 11 September, 2020, Commissioner Hester M. Peirce and William Middlebrooks, Counsel to Commissioner Peirce, met with Robert Plaze of Proskauer.

Among the topics discussed was the Commission's rulemaking proposal on the:

- *Investment Adviser Advertisements; Compensation for Solicitations*, set forth in Release No. IA-5407 (November 4, 2019).