

Ex Parte Meeting for Proposed Rule Recordkeeping 82 FR 6356 (Jan. 19, 2017)

Title:

Meeting with representatives from the Investment Adviser Association (“IAA”) to discuss proposed amendments to Regulation 1.31.

Ex Parte No: []

Date: 5/16/2017

Meeting Date:

Tuesday, May 9, 2017

Memo From:

Barry McCarty

CFTC Staff:

DSIO Director Eileen Flaherty, Chief Counsel Frank Fisanich, Associate Chief Counsels Andy Chapin and Katie Driscoll, Special Counsels Barry McCarty and Jacob Chachkin, and Marcia Blasé, Counsel to Acting Chairman Giancarlo

Organization:

Investment Adviser Association (“IAA”)

External Attendees:

Karen Barr, President & CEO of IAA; Monique Botkin, Acting General Counsel of IAA; Theresa Brunsman, Senior Counsel, Invesco Advisers, Inc., an IAA member; Chris Rohrbacher, Managing Director and Associate General Counsel, Nuveen, an IAA member; Cary Meer, Partner and Larry Patent, Of Counsel, K&L Gates, outside counsel to IAA.

Additional Information:

Discussed IAA comment letter submitted in response to Proposed Rulemaking. The Notice of Proposed Rulemaking was unanimously approved by the Commission and released on January 12, 2017.