

MEMORANDUM

TO: File No. S7-09-20

FROM: Amanda Hollander Wagner
Branch Chief, Division of Investment Management

RE: Meeting with Representatives of Broadridge Financial Solutions, Inc.

DATE: November 19, 2020

On October 29, 2020, representatives of the Securities and Exchange Commission (“SEC”) participated in a teleconference with representatives of Broadridge Financial Solutions, Inc. (“Broadridge”). The SEC representatives present on the call were, from the Division of Investment Management: Dalia Blass, Jennifer Porter, Rachel Loko, Michael Kosoff, Sarah ten Siethoff, Angela Mokodean, Amanda Wagner, Zeena Abdul-Rahman, and Pamela Ellis.

The Broadridge representatives present on the call were Robert Schifellite, Charles Callan, and Justin Daly.

The participants discussed, among other things, the Commission’s proposal titled “Tailored Shareholder Reports, Treatment of Annual Prospectus Updates for Existing Investors, and Improved Fee and Risk Disclosure for Mutual Funds and Exchange-Traded Funds; Fee Information in Investment Company Advertisements,” set forth in Investment Company Act Release No. 33963 (Aug. 5, 2020).