

## MEMORANDUM

**To:** File No. S7-09-20

**From:** Matthew Cook, Senior Advisor to Chairman Jay Clayton

**Re:** Meeting with Representatives of Broadridge Financial Solutions

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On November 19, 2020, Matthew Cook and Kimberly Hamm of the Office of the Chairman met with the following representatives of Broadridge Financial Solutions:

- Chuck Callan (SVP Regulatory Affairs)
- Doug Deschutter (President, Customer Communications)
- Bob Schifellite (President, Investor Communications Solutions)
- Justin Daly (Daly Consulting Group)
- Erik Johnson (Daly Consulting Group)

The meeting participants discussed, among other things, the SEC's proposal entitled "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."