

## MEMORANDUM

**TO:** File No. S7-15-18

**FROM:** Adam B. Glazer  
Counsel to Commissioner Hester M. Peirce

**RE:** Meeting with Representatives of the Securities Industry and Financial Markets Association's Asset Management Group ("SIFMA AMG")

**DATE:** October 29, 2018

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On October 29, 2018, Adam Glazer, legal advisor to Commissioner Hester M. Peirce, met with the following representatives of SIFMA AMG:

- Aaron Wasserman- BlackRock- By Phone;
- Alexis Rosenblum- BlackRock- By Phone;
- David Botset- Charles Schwab Investment Management;
- Chris Johnson- Charles Schwab Investment Management;
- Anna Paglia- Invesco;
- Mara Shreck- JP Morgan- By Phone;
- Elizabeth Davin- JP Morgan- By Phone;
- Jason Ronca- JP Morgan;
- Brett Olsen- Natixis;
- Mo Haghbin- OFI Global;
- Andrew Murphy- OFI Global- By Phone;
- John Yoder- OFI Global- By Phone;
- Claudia DiGiacomo- Prudential;
- Josh Weinberg- State Street;
- Amy Iseppi- State Street- By Phone;
- Ben Ossoff- State Street- By Phone;
- Brian Murphy- Vanguard;
- Edward Baer- Ropes Gray;
- Jeremy Smith- Ropes Gray;
- Tim Cameron- SIFMA AMG; and
- Lindsey Keljo- SIFMA AMG.

The participants discussed, among other things, the Commission's proposed new rule, 6c-11 under the Investment Company Act, in Investment Company Act Release No. 33140 (June 28, 2018).

