

## MEMORANDUM

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

**FROM:** John Foley  
Senior Counsel, Division of Investment Management

**RE:** Meeting with Representatives of the Securities Industry and Financial Markets Association's Asset Management Group

**DATE:** October 29, 2018

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On October 29, 2018, Matthew DeLesDernier (Senior Counsel, Division of Investment Management ("IM")), John Foley (Senior Counsel, IM), Melissa Gainor (Senior Special Counsel, IM), Brian Johnson (Assistant Director, IM), Jacob Krawitz (Branch Chief, IM), Daniele Marchesani (Assistant Chief Counsel, IM), Sarah ten Siethoff (Associate Director, IM), and Kay Vobis (Senior Counsel, IM) met with the following representatives of the Securities Industry and Financial Markets Association's Asset Management Group ("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).