

MEMORANDUM

To: File No. S7-15-18

From: Eric Diamond, Senior Advisor to Chairman Jay Clayton

Re: Meeting with Representatives of SIFMA

Date: October 30, 2018

On October 29, 2018, Lucas Moskowitz (Chief of Staff to Chairman Clayton), Alan Cohen (Senior Policy Advisor to Chairman Clayton) and Eric Diamond (Senior Advisor to Chairman Clayton) met with the following representatives of the Securities Industry and Financial Markets Association (SIFMA):

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

The meeting participants discussed, among other things, the SEC's proposed rules governing exchange-traded funds.