

MEMORANDUM

To: Public Comment File S7-15-18

From: Trace W. Rakestraw
Counsel to Commissioner Kara M. Stein
U.S. Securities and Exchange Commission

Date: November 9, 2018

Re: Meeting with Representatives from Securities Industry and Financial Markets Association (“SIFMA”)

On October 29, 2018, Jill Henderson (Counsel to Commissioner Stein) and Trace Rakestraw (Counsel to Commissioner Stein) met with the following representatives from SIFMA:

- David Botset (Charles Schwab Investment Management)
- Chris Johnson (Charles Schwab Investment Management)
- Anna Paglia (Invesco)
- Jason Ronca (JP Morgan)
- Mo Haghbin (OFI Global)
- Claudia DiGiacomo (Prudential)
- Brian Murphy (Vanguard)
- Edward Baer (Ropes & Gray)
- Jeremy Smith (Ropes & Gray)
- Tim Cameron (SIFMA AMG)
- Lindsey Keljo (SIFMA AMG)

Topics discussed included the Commission’s proposed rules governing exchange-traded funds.