

## MEMORANDUM

**To:** File No. S7-24-15

**From:** William Middlebrooks, Counsel to Commissioner Hester M. Peirce

**Re:** Meeting with Representatives of SIFMA-AMG

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On 16 October, 2020, Commissioner Hester M. Peirce and William Middlebrooks, Counsel to Commissioner Peirce, met with the following representatives from SIFMA-AMG:

- Tim Cameron, Head of Asset Management Group, SIFMA AMG
- Jason Silverstein, Managing Director & Associate General Counsel, SIFMA AMG
- Andrew Ruggiero Senior Associate, & Assistant General Counsel, SIFMA AMG
- Richard Grant, Global Head of Regulatory and Government Affairs & Associate General Counsel, AQR
- Robert Nestor, President, Direxion
- Arthur Leiz, Managing Director, Global Head of Risk, GSAM
- Wendy Yun, Managing Director & Associate General Counsel ,GSAM
- Sam Yusupov, Vice President, IMD Market Risk Analysis, GSAM
- Rudi Schadt, Portfolio Risk Strategist, Investment Risk, Invesco
- Sean Ryan, Senior Counsel, Invesco
- Adam Sherer, Vice President, Investment Risk Senior Manager, Nuveen
- Giff Zimmerman, Managing Director and Associate General Counsel, Nuveen
- Ryan Leshaw, SVP, Senior Counsel, PIMCO
- Richard Morris, General Counsel, Proshares
- Kristen Freeman, Director & Counsel, Proshares
- Angela Brickl, General Counsel, Rafferty Asset Management
- Jonathan Siegel, Vice President & Senior Legal Counsel, T Rowe

- Eric Armbruster, Counterparty Risk Manager, Vanguard
- Matthew Klein, Senior Counsel, Vanguard
- Lance Dial, Managing Director & Counsel, Wellington
- P. Georgia Bullitt, Partner, Wilkie

Among the topics discussed was the Commission's rulemaking proposal on the *Use of Derivatives by Registered Investment Companies and Business Development Companies; Required Due Diligence by Broker-Dealers and Registered Investment Advisers Regarding Retail Customers' Transactions in Certain Leveraged/Inverse Investment Vehicles* set forth in Release nos. IA-5413, IC-33704 (November 25, 2019).