

MEMORANDUM

To: File No. S7-24-15
From: Kim Hamm, Office of Chairman Jay Clayton
Date: October 19, 2020
Re: Meeting with SIFMA-AAG

On October 19, 2020, Chairman Jay Clayton and Kim Hamm, Matt Cook and Alan Cohen of the Office of the Chairman, met with the following representatives from SIFMA-AAG:

- Jason Silverstein, Managing Director & Associate General Counsel, SIFMA AMG
- Andrew Ruggiero Senior Associate, & Assistant General Counsel, SIFMA AMG
- P. Georgia Bullitt, Partner, Wilkie
- Adam Sherer, Vice President - Investment Risk Manager, Nuveen
- Robert Nestor, President, Rafferty Asset Management/Direxion
- Angela Brickl, General Counsel, Rafferty Asset Management
- Richard Grant, Global Head of Regulatory and Government Affairs & Associate General Counsel, AQR
- Jonathan Siegel, Vice President & Senior Legal Counsel, T Rowe
- Matthew Klein, Senior Counsel, Vanguard
- Wendy Yun, Managing Director & Associate General Counsel ,GSAM
- Arthur Leiz, Managing Director, Global Head of Risk, GSAM
- Giff Zimmerman, Managing Director and Associate General Counsel, Nuveen
- Eric Armbruster, Counterparty Risk Manager, Vanguard
- Lance Dial, Managing Director & Counsel, Wellington
- Richard Morris, General Counsel, Proshares
- Kristen Freeman, Director & Counsel, Proshares
- Rudi Schadt, Portfolio Risk Strategist, Investment Risk, Invesco
- Sean Ryan, Senior Counsel, Invesco

The meeting participants discussed the SEC's proposed rules relating to use of derivatives by registered investment companies and business development companies.