

MEMORANDUM

TO: File Nos. S7-07-18, S7-08-18, S7-09-18

FROM: Marc Sharma, Chief Counsel
Office of the Investor Advocate

DATE: June 7, 2018

RE: Meeting with Representatives of the Investment Company Institute

On June 6, 2018, Rick Fleming, Investor Advocate; Marc Sharma, Chief Counsel of the Office of the Investor Advocate (“OIAD”); and Adam Moore, Senior Counsel of OIAD, met with the following representatives of the Investment Company Institute (“ICI”): Dorothy Donohue, Deputy General Counsel, ICI; Linda French, Assistant General Counsel, ICI; Joanne Kane, Director, Operations & Transfer Agency, ICI; Margaret Carey, Vice President, Fidelity Investments; Robert Grohowski, Vice President, Legislative & Regulatory Affairs, T. Rowe Price; Jay Herold, Senior Counsel, MFS Investment Management; and Alexis Rosenblum, Director, BlackRock. Among the topics discussed were the Commission’s proposed rules and interpretation relating to standards of conduct for investment professionals.