

## MEMORANDUM

**To:** File Nos. S7-07-18, S7-08-18, S7-09-18

**From:** Eric Diamond, Senior Advisor to Chairman Jay Clayton

**Re:** Standards of Conduct for Investment Professionals

**Date:** July 12, 2018

---

On July 11, 2018, Sean Memon (Deputy Chief of Staff to Chairman Clayton), Alan Cohen (Senior Policy Advisor to Chairman Clayton), Eric Diamond (Senior Advisor to Chairman Clayton) and Jeffrey Dinwoodie (Senior Advisor to Chairman Clayton) met with the following representatives of Fidelity Investments:

- Jay Haines (Senior Vice President, Deputy General Counsel)
- James Febeo (Senior Vice President, Head of Federal Government Relations)
- David Forman (Vice President, Associate General Counsel)
- Alice Joe (Vice President, Government Relations)

The meeting participants discussed, among other things, the SEC's proposed rules and interpretation relating to standards of conduct for investment professionals.