

## MEMORANDUM

**TO:** File Nos. S7-07-18; S7-08-18; S7-09-18

**FROM:** Jonathan E. Carr  
Counsel to Commissioner Hester M. Peirce

**RE:** Meeting with Representatives of Fidelity

**DATE:** August 21, 2018

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On August 14, 2018, Commissioner Hester M. Peirce and her legal advisor, Jonathan E. Carr, met with the following representatives of Fidelity:

- Ram Subramaniam, Head of Brokerage and Investment Solutions;
- Stuart Rubenstein, Head of Data Aggregation;
- Tom Jessop, Head of Fidelity Corporate Business Development;
- Mathias Hitchcock, Vice President of Strategic Planning, Fidelity Clearing and Custody;
- Jurrien Timmer, Director of Global Macro;
- Richard O'Brien, Senior Vice President of Compliance, Fidelity Institutional;
- Marc Bryant, Senior Vice President and Head of Asset Management Legal;
- Jim Febeo, Senior Vice President of Government Relations;
- Jason Goggins, Vice President of Government Relations;
- David Forman, Vice President and Associate General Counsel;
- Karen Crupi, Senior Vice President and Deputy General Counsel;
- Krista Ryan, Vice President and Associate General Counsel.

The participants discussed, among other things, the Commission's proposed new rule, Regulation Best Interest, in Securities Exchange Act Release No. 83062 (Apr. 18, 2018); proposed new form, Form CRS, in Securities Exchange Act Release No. 83063 (Apr. 18, 2018); and the proposed Commission interpretation regarding standard of conduct for investment advisers in Investment Advisers Act Release No. 4889 (Apr. 18, 2018).