

MEMORANDUM

To: File No. S7-07-20 – Good Faith Determinations of Fair Value

From: Micah Hauptman
Counsel to Commissioner Caroline A. Crenshaw
U.S. Securities and Exchange Commission

Date: October 5, 2020

Re: Meeting with the Investment Company Institute (ICI) and member firms

On October 5, 2020, Commissioner Crenshaw and Micah Hauptman met telephonically with representatives and member firms of the Investment Company Institute (“ICI”). Participants included:

- Gregory Smith, Senior Director, Fund Accounting and Compliance, ICI
- Dorothy Donohue, Deputy General Counsel, ICI
- Matthew Thornton, Assistant General Counsel, ICI
- Brian Janssen, Vice President – Investment Operations, Capital Group
- Nelson Lee, Senior Vice President, Capital Group
- Adam Peden, Core Operations Valuation, Capital Group
- Wu-Kwan Kit, Senior Vice-President, Senior Counsel, PIMCO
- David J. Carter, Vice President, Associate General Counsel, Fidelity Investments
- Stacie Smith, SVP Treasurer – Equity, High Income – AM Treasurer’s Office, Fidelity Investments

Among the topics discussed was the Commission’s rulemaking proposal on Good Faith Determinations of Fair Value [Release No. IC-33845; File No. S7-07-20].