

MEMORANDUM

TO: File No. S7-08-15

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

DATE: March 1, 2017

RE: Investment Company Reporting Modernization—Release No. IC-31610

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On February 22, 2017, several staff from the Office of the Investor Advocate met with representatives of Broadridge Financial Solutions, Inc. (“Broadridge”) and Roel Campos, Counsel at Hughes Hubbard. Staff from the Office of the Investor Advocate included Rick Fleming, Investor Advocate; Marc Sharma, Chief Counsel; Brian Scholl, Senior Economist; Stephen Deane, Investor Engagement Advisor; Adam Moore, Senior Counsel; and Alexandra Ledbetter, Senior Counsel. Representatives from Broadridge included Chuck Callan, Senior Vice President, Regulatory Affairs; Robert Schifellite, President, Investor Communication Services; Sharyn Bilenker, Vice President, Regulatory Affairs and New Product Strategy; and Naadia Burrows, Vice President, Mutual Fund Operations.

The purpose of the meeting was to discuss, among other things, proposed rule 30e-3 under the Investment Company Act of 1940, regarding electronic delivery of investment company shareholder reports.