

MEMORANDUM

TO: File Nos. S7-08-15, S7-09-15, S7-16-15, S7-24-15, S7-12-11

FROM: Adam B. Glazer
Counsel to Commissioner Michael S. Piwowar

RE: Meeting with Representatives of the Boston Asset Management Association

DATE: April 21, 2016

On April 19, 2016, Commissioner Michael S. Piwowar and his legal advisor, Adam Glazer, met with the following representatives of the Boston Asset Management Association:

- Jonas Edwards-Jenks, ADS Ventures, Associate;
- Mina Nguyen, AQR, Senior Advisor, Head of Corporate Policy;
- Brian Neumann, Arrowstreet Capital, Manager, Legal;
- Jim Segel, Boston Asset Management Association, Executive Director;
- Thomas Faust, Eaton Vance, Chief Executive Officer;
- Marc Bryant, Fidelity Investments, SVP, Deputy General Counsel;
- James Febeo, Fidelity Investments, SVP, Head of Federal Government Relations;
- Thomas Samoluk, John Hancock, Vice President and Counsel, Government Relations;
- Michelle Kelley, LPL Financial, Senior Vice President, Associate General Counsel;
- Ethan Corey, MFS Investments, Associate General Counsel;
- Mark Polebaum, MFS Investments, General Counsel;
- Leonard Glynn, Putnam Investments, Managing Director, Public Policy;
- Joseph Barry, State Street, Senior Vice President, Government Affairs ;
- Benjamin Ossoff, State Street, Officer;
- Steven Patterson, State Street, Vice President;
- Phil Gillespie, State Street Global Advisors, Executive Vice President and General Counsel;
- Ronald O'Hanley, State Street Global Advisors, President and Chief Executive Officer;
- Jim Ross, State Street Global Advisors, Executive Vice President; and
- Steve Klar, Wellington, Vice Chairman, Director of Fixed Income.

The participants discussed, among other things, the Commission's proposed amendments to Form ADV and Investment Advisers Act rules in Investment Advisers Act Release No. 4091 (May 20, 2015), proposed amendments in Investment Company Reporting Modernization, Investment Company Act Release No. 31610 (May 20, 2015), proposed new rule, 18f-4 under the Investment Company Act, in Investment Company Act Release No. 31933 (Dec. 11, 2015), proposed new rule, 22e-4 under the Investment Company Act, Investment Company Act Release No. 31835 (Sept. 22, 2015), and the Commission's 2011 proposing release, Incentive-Based Compensation Arrangements, Release No. 34-64140 (Mar. 29, 2011).