

MEMORANDUM

To: File No. S7-14-16

From: Jill S. Henderson
Counsel to Commissioner Kara Stein
U.S. Securities and Exchange Commission

Date: November 30, 2016

Re: Meeting with Representatives of Healthy Markets

On November 30, 2016, Commissioner Kara M. Stein, Jill S. Henderson, Robert Peak, and Mellissa Duru met with Tyler Gellasch of Healthy Markets; Brian C. Smith and Michael Cairo of Blue Ridge Capital; Caitlin Dean of CI Investments; Stuart George of Delaware Investments; Douglas Van Gorp of Epoch Investment Partners; Peter Roehrig of T Rowe Price Associates, Inc.; Gary Thompson of Vonotobel Asset Management; Joseph Scafidi of Brandes Investment Partners; Robert Gouley of Ontario Municipal Employees Retirement System; James Andrus of CalPERS; Andrew Nelson of TIAA-CREF; Mark Muldoon and DJ Adams of Sands Capital Management; and Geoffrey Bernard of Oppenheimer Funds. Topics discussed included the proposal on Disclosure of Order Handling Information.