

## MEMORANDUM

To: Liquidity Risk Management & Derivatives Risk Management Programs Proposal File

From: Chris Stavrakos  
Senior Financial Analyst, Division of Investment Management

Date: April 1, 2016

Re: Call with Representatives of Fidelity

On March 31, 2016 Chris Stavrakos (Senior Financial Analyst, IM) Lou Casais (Examiner, IM), Jackie Rivas (Accountant, IM) and Ed Bartz (Attorney, IM) participated on a call with the following representatives of Fidelity:

- Linda Wondrack (EVP) – Head of Asset Management Compliance
- Kenneth Robins (SVP) – Asset Management Compliance
- Karen Stymest (VP) – Asset Management Compliance
- Robert Gannon (VP) – Asset Management Compliance
- Daniel Gallagher (SVP) - Legal
- Amy McDonald (VP) – Asset Management Compliance
- Nati Davidi (VP) - Legal
- Alexander Marx – Head of Global Bond Trading
- Christine Thompson – Chief Investment Officer, Bonds
- Thomas Hense – Equity Chief Investment Officer
- Tim Hartshorn – High Income Trader
- Bill Baxter – Head of Global Program Trading and Market Structure
- Robert Minicus (SVP) – Head of Global Equity Trading

Among other things, the participants discussed the Commission's proposal on liquidity risk management programs and derivatives risk management.