

MEMORANDUM

April 26, 2023

TO: File Number S7-26-22

FROM: Jacob D. Krawitz
Policy Counsel, Office of the Chair

RE: Meeting with the Investment Company Institute (“ICI”)

On April 26, 2023, the staff members from the Office of the Chair listed below met with the following representatives of the ICI and member firms:

SEC Participants:

Heather Slavkin Corzo
Jacob Krawitz

Outside Participants:

Susan Olson, General Counsel, ICI
Dorothy Donohue, Deputy General Counsel, ICI
Matthew Thornton, Associate General Counsel, ICI
Sean Collins, Chief Economist, ICI
Shelly Antoniewicz, Senior Director of Industry and Financial Analysis, ICI
Jeff Naylor, Acting Chief of Industry Operations, ICI
Kelly O’Donnell, Director, Transfer Agency and Operations, ICI
Joshua Ratner, Head of Americas Operations, PIMCO
Paul Cellupica, EVP, Deputy General Counsel, PIMCO
Jane Heinrichs, Senior Policy Advisor, Vanguard
Charles Thomas, Global Head of Fixed Income Risk, Vanguard
Patrick Castellani, Assistant Vice President, Investment Operations
(Valuation/Liquidity), Capital Group
Nelson Lee, Senior Counsel, Capital Group
Joshua Palter, Vice President, MFS
Brad Wilson, Senior Counsel, MFS
Christopher Maher, Deputy Treasurer, Fidelity
Donald Caiazza, Vice President and Associate General Counsel, Fidelity

The participants discussed the Commission’s proposal relating to Open-End Fund Liquidity Risk Management Programs and Swing Pricing; Form N-PORT Reporting.