

## MEMORANDUM

TO: File Nos. S7-07-18, S7-08-18, S7-09-18

FROM: Bradford Bartels, Division of Trading and Markets

RE: Meeting with Representatives of Investment Company Institute

DATE: October 30, 2018

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On Tuesday, October 30, 2018, representatives of the Securities and Exchange Commission (“SEC”) participated in a meeting with representatives of the Investment Company Institute (“ICI”). The SEC representatives were Lourdes Gonzalez, Emily Westerberg Russell, Alicia Goldin, Dan Fisher, Geeta Dhingra, Stephen Benham, and Bradford Bartels from the Division of Trading and Markets; Sarah ten Siethoff, Sara Cortes, Jennifer Porter, Parisa Haghshenas, Jennifer Songer, James McGinnis, Gena Lai, Roberta Ufford, Elizabeth Miller, and Olawale Oriola from the Division of Investment Management; and James McLoughlin from the Division of Economic Risk and Analysis. The ICI representatives were Susan Olson, Dorothy Donohue, and Sarah Bessin.

The participants discussed, among other things, the SEC’s proposed rules and interpretation relating to standards of conduct for investment professionals.