

MEMORANDUM

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

From: Nicholas J. Losurdo
Counsel to Commissioner Elad L. Roisman

Date: February 14, 2019

Re: Meeting with Representatives from Investment Company Institute (“ICI”) and Members

On February 14, 2019, Commissioner Elad L. Roisman and his Counsels, Nicholas Losurdo and Elizabeth Blase, met with the following representatives from ICI and certain ICI members:

- Paul Stevens, ICI
- Susan Olson, ICI
- Sara Bessin, ICI
- Marie Aro, Aquila Distributors
- Jason Bortz, Capital Group
- Bob Burns, Putnam Investments
- John Nolan, UBS Fund Advisor

The topics discussed included the Commission’s proposed Regulation Best Interest. Certain of the attendees have submitted letters to the comment files on these matters.