

**MEMO# 27625**

October 4, 2013

# **Draft Agenda and Other Important Information for October 17 SEC Rules Committee Meeting**

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TO: SEC RULES COMMITTEE No. 41-13 RE: DRAFT AGENDA AND OTHER IMPORTANT INFORMATION FOR OCTOBER 17 SEC RULES COMMITTEE MEETING

## **Meeting Time and Location**

The annual in-person meeting of the SEC Rules Committee is quickly approaching. This year's meeting, scheduled for Thursday, October 17th, will be held at ICI's offices located at 1401 H St., NW, 12th Floor, Washington, DC, in the David Silver Conference Room. The meeting will begin at 9:00 a.m. (Eastern), and end by 3:30 pm. The committee dinner will be held on Wednesday, October 16th (details below). Please note that ICI has instituted new office security measures. A key fob is now needed to access the elevator for the 12th floor. A staff person will meet you in the lobby to give you access to the 12th floor.

## **Draft Agenda**

The draft meeting agenda is attached. We are pleased to highlight the following:

- Andrew Bowden, Director, Office of Compliance Inspections and Examinations, SEC, will address the Committee during the morning portion of the meeting.
- Patricia Cushing, Director of Compliance, National Futures Association, will address the Committee in the afternoon.

Please forward questions you would like our speakers to address to [frances@ici.org](mailto:frances@ici.org).

Based on your responses to the committee survey conducted earlier in the year, we will once again hold break-out discussion sessions during the meeting. Session topics will include: (1) board governance issues; (2) fund investments in derivatives; and (3) oversight of intermediaries and subadvisers. We will be contacting members who have registered for the meeting to ask for topic preferences and will do our best to accommodate your choices.

## Committee Dinner

The committee dinner will be held the evening of Wednesday, October 16th at Acadiana, 901 New York Avenue, N.W., Washington, D.C. The reception will begin at 6:30 p.m., followed by dinner at 7:15 p.m. If you plan to attend, please register as directed below, through our registration website. The cost of the dinner is \$98. Please note that if you cancel within 72 hours of the reception and dinner, your payment will not be refunded.

## Meeting Registration and Hotel Information

If you have not already done so, please register for the meeting and dinner on our registration site at [www.ici.org/reg/sec](http://www.ici.org/reg/sec). A block of rooms has been reserved at the Hamilton Crowne Plaza, 1001 14th St., N.W., Washington, D.C. for the evening of October 16th at a rate of \$289 per night. Due to the limited number of rooms, we urge you to make your hotel reservation as soon as possible. To make reservations, please call the hotel at (877) 270-1393. Reservations must be cancelled at least 72 hours in advance to avoid penalty.

We look forward to seeing you on October 16th and 17th.

John M. Zerr  
Chairperson

Frances M. Stadler  
Senior Counsel - Securities Regulation

[Attachment](#)

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