

MEMO# 31840

July 9, 2019

In-Person Meeting for AML Compliance Working Group: Tuesday, September 17, 2019

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July 9, 2019 TO: AML Compliance Working Group
Transfer Agent Advisory Committee RE: In-Person Meeting for AML Compliance Working Group: Tuesday, September 17, 2019

The Investment Company Institute will host an in-person meeting of the AML Compliance Working Group on Tuesday, September 17 from 10:00 am to 2:30 pm in Washington, D.C. The meeting will take place at the ICI, 1401 H Street N.W., Washington, D.C. 20005. Lunch will be served. An agenda will be sent prior to the meeting.

We are in the process of inviting various regulators to speak to the group about AML regulatory priorities and initiatives. In addition, we would like to use the meeting to address member issues and to continue to discuss member views on the most significant Bank Secrecy Act challenges for mutual funds as well as any recommendations for improving the efficiency and effectiveness of the BSA regulatory framework. We would also welcome any specific recommendations for topics that you would be interested in addressing during the meeting (depending on the number of topics provided, we may adjust the ending time of the meeting slightly, so please plan accordingly). We hope that you can join us.

Please register for the meeting online via Cvent at www.ici.org/reg/aml as soon as possible. If you have questions about registration, please contact Monique Curtis at 202-326-5823 or monique.curtis@ici.org. Also, we are considering having a dinner for attendees arriving Monday evening—if you would be interested in attending, please let Monique know. If you have any other questions or suggestions for the meeting, please feel free to contact me (202-371-5406 or matt.thornton@ici.org).

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