

**MEMO# 24601**

October 14, 2010

## **Schedule and Draft Agenda for October 27-28 SEC Rules Committee Meeting and Dinner**

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TO: SEC RULES COMMITTEE No. 41-10 RE: SCHEDULE OF EVENTS AND DRAFT AGENDA FOR OCTOBER 27-28 SEC RULES COMMITTEE MEETING AND DINNER

As previously announced, an extended, in-person meeting of the SEC Rules Committee is scheduled for Thursday, October 28th with a dinner on October 27th. Please note that the meeting will be held at the Washington Marriott at Metro Center, 775 12th Street, N.W., Washington, D.C. (located just a few blocks from the ICI offices). The meeting will begin at 9:00 a.m. Eastern time and end by 3:30 p.m.

A Schedule of Events and a draft Committee Agenda are attached. We are pleased to highlight the following:

- Andrew Donohue, Director, Division of Investment Management, and Carlo di Florio, Director, Office of Compliance Inspections and Examinations, SEC, will address the Committee during the morning portion of the meeting.
- Paul Stevens, President and CEO, ICI, will discuss ICI's FY 2011 priorities at lunch.
- Eric Moss, Vice President, Emerging Regulatory Issues, and Tom Selman, Executive Vice President, Regulatory Policy, FINRA, will meet with the Committee after lunch. They are interested in hearing from ICI members about emerging regulatory issues FINRA should be aware of, so please consider whether there are any issues you would like to bring to FINRA's attention.

Closer to the meeting date, we will distribute meeting materials by email to those who have registered for the meeting.

If you have not already done so, please register for the meeting and dinner on our registration site at <http://members.ici.org/reg/secrules>. The dinner will be held the evening of Wednesday, October 27th at Bobby Van's Steakhouse, 1201 New York Avenue, N.W., Washington, D.C., with a cocktail reception beginning at 6:30 p.m. and the dinner at 7:15 p.m. As previously indicated, all dinner participants will be charged \$85. Please note that if you cancel within 72 hours of the dinner, your payment will not be refunded.

Please be advised that the Washington Marriott at Metro Center has sold out. If you need assistance identifying other hotels in the area, please contact Gwen Kelly at (202) 326-5818 or [gwen.kelly@ici.org](mailto:gwen.kelly@ici.org).

We look forward to seeing you on October 27th and 28th.

Amy R. Doberman  
Chairperson

Frances M. Stadler  
Deputy Senior Counsel

[Attachment](#)

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