

MEMO# 27451

August 9, 2013

AML Compliance Working Group Meeting- September 10, 2013; Information on Guest Speakers

[27451]

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TO: AML COMPLIANCE WORKING GROUP No. 2-13 RE: AML COMPLIANCE WORKING GROUP
MEETING- SEPTEMBER 10, 2013; INFORMATION ON GUEST SPEAKERS

As we previously informed you, the Investment Company Institute will host an in-person meeting of the AML Compliance Working Group on Tuesday, September 10, 2013, from 10 AM to 2:30 PM EST 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.

We are pleased to let you know that we have confirmed participation in our meeting by:

- Jamal El-Hindi, Associate Director, Regulatory Policy and Programs Division, Financial Crimes Enforcement Network;
- Brandon Reddington, Sanctions Adviser, Securities, Sanctions Compliance and Evaluation, Office of Foreign Assets Control;
- Hunter Jones, Assistant Director, Investment Company Rulemaking, SEC Division of Investment Management; and
- John Fahey, Office of the Chief Counsel, SEC Division of Trading and Markets.

We will use the meeting as an opportunity for FinCEN and the SEC to discuss their current AML regulatory priorities, and particularly how they impact mutual funds. Similarly, we expect to hear from OFAC regarding their priorities and any trends or developments of importance for mutual funds.

We will also 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 welcome any specific recommendations for topics that you would be interested in addressing during the meeting. 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 Ruth Tadesse at 202/326-5836 or

rtadesse@ici.org. If you have any other questions or suggestions for the meeting, please feel free to contact me (202-326-5837 or emykolenko@ici.org) or Susan Olson (202-326-5813 or solson@ici.org).

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