

**MEMO# 31622**

February 21, 2019

## **ICI EMAC Call on March 5 from 4:00 - 5:00 pm and Notice of Upcoming Equity Markets Speech by SEC Chairman Clayton**

[31622]

February 21, 2019 TO: Equity Markets Advisory Committee RE: ICI EMAC Call on March 5 from 4:00 - 5:00 pm and Notice of Upcoming Equity Markets Speech by SEC Chairman Clayton

This memorandum provides details for an upcoming call of the Equity Markets Advisory Committee on March 5 and an event on March 8 where SEC Chairman Jay Clayton and Division of Trading and Markets Director Brett Redfearn will discuss their equity markets priorities.

### **Committee Call - March 5 at 4:00-5:00 pm (ET)**

We will hold a call of the Equity Markets Advisory Committee on March 5 from 4:00 – 5:00 pm (ET) to discuss the following two items:

- The attached document, which aims to standardize some of the most common requests for information (RFIs) that broker-dealers receive from clients. SIFMA is leading this initiative to facilitate the transmission of and response to RFIs in a timely manner. The questionnaire is intended to cover the most common RFIs that asset managers send to brokers. It is not intended to be an exhaustive list. SIFMA has asked for ICI member feedback on the document. I have marked some comments in the attached document and look forward to hearing your feedback in March. If you would like to share comments prior to the call, please send them to me at [george.gilbert@ici.org](mailto:george.gilbert@ici.org).
- SEC Commissioner Robert Jackson spoke at the EMAC meeting last week and requested our feedback on a couple issues, including whether the Commission should clarify the best execution standard. During the second part of the call on March 5 we will discuss the feedback that we can provide to the Commissioner.

Please contact Monique Curtis at [monique.curtis@ici.org](mailto:monique.curtis@ici.org) to receive dial-in information for the March 8 call.

## **Clayton Speech - March 8 at 9:00 am (ET)**

According to the SEC's [website](#), Chairman Jay Clayton and Division of Trading and Markets Director Brett Redfearn will speak at Fordham University's event, "U.S. Equity Markets: Looking Back and Moving Forward." Chairman Clayton will give the keynote address and Director Redfearn will give other remarks. Both will participate in a Q&A afterward. In addition, Craig Phillips, Counselor to the Secretary, U.S. Department of the Treasury, will provide a presentation on the US Treasury's Capital Markets Report.

George M. Gilbert  
Assistant General Counsel

[Attachment](#)

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