

MEMO# 26542

October 3, 2012

Save the Date: December 13th CCO Meeting in Washington, D.C. to Coincide With ICI Conference; Dec. 6th Call Cancelled

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TO: CHIEF COMPLIANCE OFFICER COMMITTEE No. 6-12 RE: SAVE THE DATE: DECEMBER 13TH CCO MEETING IN WASHINGTON, D.C. TO COINCIDE WITH ICI CONFERENCE; DEC. 6TH CALL CANCELLED

In the past, the ICI scheduled an in-person fall meeting of the CCO Committee to coincide with the SEC's National CCO Outreach program. However, this year the SEC will not be holding their program. [\[1\]](#) During the last quarterly conference call of the ICI's CCO Committee, we discussed scheduling an in-person meeting of the Committee to coincide with the ICI's Securities Law Developments Conference, which will be held in Washington, D.C. on Wednesday, December 12th. [\[2\]](#) Subsequent to the call, we informally polled the members of the Committee to determine whether they would be interested in attending such a meeting and, if so, whether it should be held on December 11th or 13th. Based on the results of our informal poll, we have scheduled an in-person meeting of the Committee for Thursday, December 13th from 9:30 to approximately 2 p.m. In addition, we are planning to hold a dinner of the Committee the evening of December 12th (following the ICI Conference). Consistent with Institute policy, persons planning to attend the dinner will be billed approximately \$98 in advance for it.

Accordingly, please save the dates of December 12th (for the dinner and/or ICI Conference) and December 13th (for the Committee meeting) on your calendars. In the near future, we will be sending you additional information concerning these events, including the instruction to RSVP for them. Also, please note that, in light of the in-person meeting, we are cancelling our next quarterly conference call of the Committee, which was scheduled for December 6th. Also, for planning purposes, the next in-person of the Committee will occur in May 2013 in conjunction with the Mutual Fund Compliance Programs Conference in Washington, D.C.

The Institute and the Committee Chair are always interested in your views regarding how to improve the value of these meetings to you. If you have any suggestions to improve the

format or contents of the upcoming meeting, please do not hesitate to contact either Tami Salmon of the ICI at 202-326-5825 or tamara@ici.org or Pauline Scalvino of Vanguard at 610-669-2165 or pauline_c_scalvino@vanguard.com to share your thoughts.

We hope to see you in December!

Pauline Scalvino
Chair

Tamara K. Salmon
Senior Associate Counsel

endnotes

[1] The staff of the SEC has informed us that their next National CCO Outreach program for chief compliance officers of mutual funds and investment advisers will likely not be scheduled until the winter of 2013-2014.

[2] Persons interested in attending this conference will need to register for it separately. Please note that (1) the conference luncheon speaker will be the FBI agent who worked with the SEC on the Galleon and other insider trading cases; and (2) there will be a Compliance/Enforcement panel that will include (in alphabetical order): Thomas Biolsi of PwC (formerly of the SEC's New York Regional Office); Andrew ("Drew") Bowden, the Deputy Director of OCIE; Rob Kaplan, formerly a co-head of the Asset Management Unit within the SEC's Division of Enforcement; and Nancy Morris, CCO of Wellington (and a member of the ICI's CCO Committee). More information about the conference and the registration process is available at: http://www.ici.org/events/upcoming/conf_12_seclaw.