

MEMO# 30663

April 5, 2017

FINRA Requests Comment on Engagement Programs

[30663]

April 5, 2017 TO: ICI Members
Investment Company Directors
ICI Global Members
Advertising Compliance Advisory Committee
Broker/Dealer Advisory Committee
Principal Underwriters Working Group
SEC Rules Committee
Small Funds Committee
Transfer Agent Advisory Committee SUBJECTS: Advertising
Compliance RE: FINRA Requests Comment on Engagement Programs

FINRA recently released a Special Notice soliciting comment on FINRA's current engagement programs.^[1] This request for comments is one of the first steps in FINRA's new initiative to evaluate various aspects of its operations and programs to identify opportunities to more effectively further its mission.

The Notice provides an overview of FINRA's current engagement programs, with particular focus on FINRA's committees, rulemaking process, and member relations and related programs. FINRA is requesting comment regarding how it can enhance these programs to promote its mission and its effectiveness as an SRO.

We are preparing a draft letter for submission to FINRA and will circulate it to the relevant committees. In the meantime, please contact me at linda.french@ici.org or (202) 326-5845 if there are any particular issues that you would like us to consider raising in the letter. The comment period expires on May 5, 2017.

Linda French
Counsel

endnotes

[1] *FINRA Special Notice: Engagement Initiative, FINRA Requests Comment on Potential Enhancements to Certain Engagement Programs* (Mar. 21, 2017), available at http://www.finra.org/sites/default/files/notice_doc_file_ref/Special-Notice-032117.pdf.

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