

**MEMO# 31395**

September 20, 2018

## **SEC Rules Committee Meeting on October 18; Dinner on October 17 - Draft Agenda Attached**

[31395]

September 20, 2018 TO: SEC Rules Committee RE: SEC Rules Committee Meeting on  
October 18; Dinner on October 17 - Draft Agenda Attached

The next meeting of the SEC Rules Committee will take place on Thursday, October 18th. This is an in-person meeting to be held at the offices of the Investment Company Institute, 1401 H Street, NW, 12th Floor, Washington, DC, in the David Silver Conference Room. We are pleased to have two guest speakers. Paul Cellupica, Deputy Director of the SEC's Division of Investment Management, will discuss recent Division developments and current priorities. Julia Ulstrup, Vice President and General Counsel of ICI Mutual Insurance Company, will discuss mutual fund claims trends.

As with past fall meetings, we are planning a full-day program beginning at 9:00 a.m. and ending by 3:30 p.m., with breakfast and lunch being served. We have attached the draft agenda for the meeting. As part of the October meeting, we plan to have three member-led issue-specific break-out sessions during which members will have the opportunity to share their thoughts and experiences in a small group. The topics of the break-out sessions are noted on the draft agenda. Each member will be able to attend one session. We will be sending out a brief survey shortly asking you to select the break-out session you would prefer to attend.

### **Meeting Registration**

If you have not already done so, please register for the meeting at [www.ici.org/reg/sec](http://www.ici.org/reg/sec). In completing the online registration, please provide any other suggested topics for discussion at the meeting. To assist with our planning, we request that you register by October 10, 2018, as space is limited. If you have questions about meeting logistics, please contact Nadia Ishmael at (202) 326-5811 or [nadia.ishmael@ici.org](mailto:nadia.ishmael@ici.org).

### **Committee Dinner**

A cocktail reception and dinner will be held the evening of Wednesday, October 17th, at Brasserie Beck, 1101 K St., NW, Washington, DC 20005. The reception will begin at 6:30 p.m., followed by dinner at 7:00 p.m. If you plan to attend, please register via the meeting registration link provided above. Dinner attendees will be charged \$115.00. Please note

that, if you cancel within 72 hours of the dinner, your payment will not be refunded.

We look forward to seeing you at the October Committee meeting and dinner!

Sarah Bessin  
Associate General Counsel

Darrell Braman  
Committee Chairman

[Attachment](#)

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