

MEMO# 30915

October 17, 2017

Reminder - SEC Rules Committee Meeting November 2; Committee Dinner November 1 - Draft Agenda Attached

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October 17, 2017 TO: SEC Rules Committee RE: Reminder - SEC Rules Committee Meeting November 2; Committee Dinner November 1 - Draft Agenda Attached

The next meeting of the SEC Rules Committee will take place on Thursday, November 2nd. This is an in-person meeting to be held at the offices of the Investment Company Institute, 1401 H St., N.W., 12th Floor, Washington, D.C., in the David Silver Conference Room. We are pleased to have as guest speakers **Dalia Blass, Director of the SEC's Division of Investment Management**, who will discuss recent Division developments and current priorities, and **Leonard Ng, Partner at Sidley Austin**, who will discuss the implications for asset managers of the MiFID II rules on dealing commissions and research.

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. A draft meeting agenda is attached to this memorandum. As part of the November meeting, we also plan to have several member-led issue-specific break-out sessions during which members will have the opportunity to share their thoughts and experiences in a small group. Each member will be able to attend one session.

MEETING REGISTRATION

Please register for the meeting at www.ici.org/reg/sec. In completing the online registration, please provide any suggested topics for discussion at the meeting, including suggested topics for the break-out sessions. **We have extended the registration date to October 25, 2017** - please make sure to register, as space is limited. If you have questions about meeting logistics, please contact Helenia Walker at (202) 326-5823 or helenia.walker@ici.org.

COMMITTEE DINNER

A cocktail reception and dinner will be held the evening of Wednesday, November 1st, at The Hamilton, 600 14th St NW, Washington, DC. The reception will begin at 6:30 p.m., followed by dinner at 7:15 p.m. If you plan to attend, please register via the meeting registration link provided above. Dinner attendees will be charged \$105.00. 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 November Committee meeting and dinner!

Sarah A. Bessin
Associate General Counsel

Darrell Braman
Chairman - SEC Rules Committee

[Attachment](#)

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