

MEMO# 24874

January 13, 2011

Schedule of 2011 Calls to Discuss Operational issues Arising in Implementing the SEC's new Pay-to-Play rule for Advisers

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TO: BANK, TRUST AND RECORDKEEPER ADVISORY COMMITTEE No. 3-11
BROKER/DEALER ADVISORY COMMITTEE No. 3-11
COMPLIANCE MEMBERS No. 4-11
PENSION MEMBERS No. 2-11
TRANSFER AGENT ADVISORY COMMITTEE No. 3-11 RE: SCHEDULE OF 2011 CALLS TO
DISCUSS OPERATIONAL ISSUES ARISING IN IMPLEMENTING THE SEC'S NEW PAY-TO-PLAY
RULE FOR ADVISERS

As you may know, the Institute has been sponsoring conference calls of members to discuss issues arising in connection with implementing the SEC's new pay-to-play rule. To keep these calls more manageable and valuable to members, we began dividing our previously single calls into two calls – one dedicated to the operations issues raised by the rule and one dedicated to the legal and compliance issues. Because it is likely that members will be addressing implementation issues related to the rule for the next few months, we have decided to schedule these calls monthly for the next six months. The calls to discuss operational issues will be held on each of the following Tuesdays from 2-3 p.m. Eastern:

January 18th
February 22nd
March 15th April 19th
May 17th
June 21st

Please mark your calendars accordingly. In advance of the call, we will send a reminder email along with the call-in information.

As with our previous calls, these calls are intended to provide members an opportunity to discuss how members are planning to identify which of their accounts, whether held either directly or indirectly through an intermediary, are held by government entities through a 403(b), 457, or 529 plan account.

If you have any questions or if we can be of any assistance to you, please do not hesitate to contact us as indicated below.

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