

MEMO# 28031

April 14, 2014

Closed-End Investment Company Committee Meeting, Tuesday, May 6, 2014 - FINRA Guest Speakers

[28031]

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TO: CLOSED-END INVESTMENT COMPANY COMMITTEE No. 14-14 RE: CLOSED-END
INVESTMENT COMPANY COMMITTEE MEETING, TUESDAY, MAY 6, 2014 - FINRA GUEST
SPEAKERS

A meeting of the Closed-End Investment Company Committee has been scheduled for Tuesday, May 6, 2014 at the offices of the Investment Company Institute, 1401 H Street, N.W., Washington, D.C. The meeting is scheduled for 12:00 p.m. to 3:00 p.m. Lunch will be available before the meeting.

We are pleased to inform you that members of FINRA staff – Tom Pappas, Joe Savage, and Amy Sochard – will be joining the meeting to discuss FINRA advertising rules. Attached is a draft agenda for the meeting.

We are offering online registration for members attending the committee meeting. If you plan to attend, please register no later than Friday, May 2, 2014 through the following link: www.ici.org/reg/closed. If you have any questions about the meeting, please contact Jennifer S. Choi at (202) 326-5876 or at jennifer.choi@ici.org.

Jennifer S. Choi
Senior Associate Counsel Securities Regulation

[Attachment](#)