

MEMO# 26645

November 5, 2012

Member Call on CFTC Rule 4.5 Issues November 13 - Please Submit Your Questions

[26645]

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TO: SEC RULES COMMITTEE No. 70-12
CLOSED-END INVESTMENT COMPANY COMMITTEE No. 42-12
DERIVATIVES MARKETS ADVISORY COMMITTEE No. 63-12
ETF ADVISORY COMMITTEE No. 44-12
COMPLIANCE ADVISORY COMMITTEE No. 4-12
SMALL FUNDS COMMITTEE No. 26-12
VARIABLE INSURANCE PRODUCTS ADVISORY COMMITTEE No. 17-12 RE: MEMBER CALL ON
CFTC RULE 4.5 ISSUES NOVEMBER 13 - PLEASE SUBMIT YOUR QUESTIONS

On Tuesday, November 13, from 2-3:30 p.m. ET, ICI will hold a conference call to discuss member questions related to CFTC Rule 4.5, including registration and compliance issues raised by the upcoming registration deadline for the rule. Our counsel from K&L Gates will join us on the call to assist in answering member questions. To make the call as efficient as possible, we request that you submit your questions to us in advance by email at the same time you RSVP for the call. Please do so by noon ET on Friday, November 9 to bturner@ici.org and you will be provided with the dial-in information for the call.

If you have any questions prior to the call, please contact Sarah Bessin at sarah.bessin@ici.org or (202) 326-5835, or Rachel Graham at rgraham@ici.org or (202) 326-5819.

Sarah A. Bessin
Senior Counsel