

MEMO# 27951

March 13, 2014

Meetings of ICI's CCO and CCO Advisory Issues Subcommittee Scheduled for Tuesday, May 20 before the ICI Compliance Programs Conference; RSVP by Friday, May 2

[27951]

March 13, 2014

TO: CHIEF COMPLIANCE OFFICER COMMITTEE No. 3-14 RE: MEETINGS OF ICI'S CCO AND CCO ADVISORY ISSUES SUBCOMMITTEE SCHEDULED FOR TUESDAY, MAY 20 BEFORE THE ICI COMPLIANCE PROGRAMS CONFERENCE; RSVP BY FRIDAY, MAY 2

The Institute has scheduled the next in-person meetings of ICI's CCO Committee and CCO Advisory Issues Subcommittee [1] for Tuesday, May 20. The Subcommittee meeting will be held from 9:00 a.m. to 11:30 a.m. and the full Committee meeting will begin at 12:00 p.m. at the Washington Hilton hotel. [2] These meetings are being held in conjunction with the Institute's annual Mutual Fund Compliance Programs Conference, which is being held at the Hilton hotel beginning on May 21-22. [3] There is no charge for attending the committee meeting [4] and lunch will be served.

Due to limited space, this meeting is restricted to members of the ICI's CCO or Compliance Advisory Committees. If you plan to attend the meeting, you must register for it via this link: www.ici.org/reg/cco. When you register, please provide one or more issues to include on the meeting agenda. PLEASE DO NOT PLAN TO ATTEND THE MEETING UNLESS YOU HAVE REGISTERED FOR IT BY MAY 2ND AND RECEIVED CONFIRMATION OF YOUR REGISTRATION.

The meeting's agenda, which will be provided to attendees prior to the meeting, will consist largely of issues submitted by members. We are, however, again planning to devote part of the meeting to an informal discussion between members of the Committees and SEC staff and we are inviting representatives of the SEC's Office of Compliance Inspections and Examinations, the Division of Investment Management, and the Division of Enforcement to participate in this informal discussion. As noted above, to assist us with the members'

issues portion of the agenda, when you register for the meeting, we encourage you to provide us any issues you would like to have discussed at it.

Compliance Conference Information

While the Compliance Programs Conference will not begin until May 21st, the opening session of the Institute's General Membership Meeting, which coincides with the Compliance Programs Conference, will begin immediately following the joint Committee meeting (i.e., from 3-4:45 p.m.). The program for the Compliance Programs Conference can be found here: http://gmm.ici.org/mfc/ci.program_mfc.comp, and you may register for the conference through this link: www.ici.org/reg/gmm. (There is one central registration for all the conferences, but you will be able to specify that your main interest is the Compliance Conference.) Persons who register for the Compliance Conference may also attend sessions of the General Membership Meeting or the Operations and Technology Conference, which are occurring simultaneously with the Compliance Conference. Programs for each of these conferences are available through this link: <http://gmm.ici.org/gmm/program>.

I hope to see you in May! If you have any questions or if I can be of any assistance, please don't hesitate to contact me by phone (202-326-5825) or email (tamara@ici.org).

Tamara K. Salmon
Senior Associate Counsel

endnotes

[1] As is our practice, members of ICI's Compliance Advisory Committee will be invited to attend and participate in these meetings.

[2] The Washington Hilton is at 1919 Connecticut Ave. NW in Washington, DC. Hotel reservations may be made through this link:
https://resweb.passkey.com/Resweb.do?mode=welcome_gi_new&groupID=21718210.

[3] See more information about the conference below.

[4] There is a charge assessed for attending the conference. While it is not necessary to register for the Conference in order to attend the Committee meeting, members planning to attend the Committee meeting must RSVP as indicated in this memo.

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