

**MEMO# 28056**

April 22, 2014

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

[28056]

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TO: CLOSED-END INVESTMENT COMPANY COMMITTEE No. 16-14 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.

Attached is the agenda for 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. Please send me any questions or issues that you would like to discuss with FINRA staff by email at [jennifer.choi@ici.org](mailto:jennifer.choi@ici.org).

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](http://www.ici.org/reg/closed).

Jennifer S. Choi  
Senior Associate Counsel Securities Regulation

[Attachment](#)