

**MEMO# 29247**

August 13, 2015

## **In-Person Meeting for AML Compliance Working Group - Friday, September 11, 2015; Information on Guest Speakers**

[29247]

August 13, 2015

TO: AML COMPLIANCE WORKING GROUP No. 2-15  
TRANSFER AGENT ADVISORY COMMITTEE No. 41-15 RE: IN-PERSON MEETING FOR AML COMPLIANCE WORKING GROUP - FRIDAY, SEPTEMBER 11, 2015; INFORMATION ON GUEST SPEAKERS

As we previously informed you, the Investment Company Institute will host an in-person meeting of the AML Compliance Working Group on Friday, September 11, 2015 from 10 AM to 3:30 PM in Washington, D.C. The meeting will take place at the ICI, 1401 H Street N.W., Washington, D.C. 20005. Lunch will be served. An agenda will be sent prior to the meeting.

We are pleased to let you know that we have confirmed participation in our meeting by:

- Gary Sutton, Senior Legal Adviser for Financial Crimes, Department of the Treasury;
- Jennifer McCarthy, Assistant Director, Office of Chief Counsel, SEC Office of Compliance Inspections and Examinations;
- Thoreau Bartmann, Branch Chief, Investment Company Rulemaking Office, SEC Division of Investment Management; and
- Thomas Bogle, Partner, Dechert LLP.

We also expect to have a representative from the Financial Crimes Enforcement Network (FinCEN). We will use the meeting as an opportunity for the Treasury Department, FinCEN, and the SEC to discuss their current AML regulatory priorities, particularly those affecting mutual funds and the asset management industry generally.

We will also use the meeting to address member issues and discuss member views on the most significant Bank Secrecy Act (BSA) challenges for mutual funds, as well as any recommendations for improving the efficiency and effectiveness of the BSA regulatory framework. We welcome any specific recommendations for topics that you would be interested in addressing during the meeting. We hope that you can join us.

Please register for the meeting online via Cvent at [www.ici.org/reg/aml](http://www.ici.org/reg/aml) as soon as possible.

If you have questions about registration, please contact Kim Hair at 202-326-5818 or [kim.hair@ici.org](mailto:kim.hair@ici.org). Also, we are considering having a dinner for attendees arriving Thursday evening—if you would be interested in attending, please let Kim know. If you have any other questions or suggestions for the meeting, please feel free to contact me (202-371-5406 or [matt.thornton@ici.org](mailto:matt.thornton@ici.org)).

Matthew Thornton  
Counsel

---

Copyright © by the Investment Company Institute. All rights reserved. Information may be abridged and therefore incomplete. Communications from the Institute do not constitute, and should not be considered a substitute for, legal advice.