

MEMO# 31978

September 24, 2019

Reminder - October 24th In-Person SEC Rules Committee Meeting and October 23rd Dinner - Draft Agenda Attached

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September 24, 2019 TO: SEC Rules Committee RE: Reminder - October 24th In-Person SEC Rules Committee Meeting and October 23rd Dinner - Draft Agenda Attached

The next meeting of the SEC Rules Committee will take place on Thursday, October 24th. This is an in-person meeting to be held at the offices of the Investment Company Institute, 1401 H Street, NW, 12th Floor, Washington, DC, in the David Silver Conference Room. We are pleased to have several guest speakers. Paul Cellupica, Deputy Director of the SEC's Division of Investment Management, will discuss recent Division developments and current priorities. Roy Choudhury, Principal in Ernst & Young's Financial Services Advisory practice, will discuss benchmark transition issues for funds and their advisers. Julia Ulstrup, Vice President and General Counsel of ICI Mutual Insurance Company, will discuss ICI Mutual's recent study on shareholder litigation.

As with past fall meetings, we are planning a full-day program beginning at 9:00 am and ending by 3:30 pm, with breakfast and lunch being served. As part of the October meeting, we plan to have several member-led issue-specific break-out sessions during which members will have the opportunity to share their thoughts and experiences in a small group.

Meeting Registration

If you have not already done so, please register for the meeting at www.ici.org/reg/sec. In completing the online registration, please provide suggested topics for discussion at the meeting, as well as topics for the break-out sessions. We have attached a draft agenda for the meeting and welcome your suggestions. To assist with our planning, we request that you register by October 17th, as space is limited. If you have questions about meeting logistics, please contact Monique Curtis at (202) 326-5823 or monique.curtis@ici.org.

Committee Dinner

A cocktail reception and dinner will be held the evening of Wednesday, October 23rd, at the Hamilton—600 14th Street NW, Washington, DC 20005. The reception will begin at 6:30 pm, followed by dinner at 7:00 pm. If you plan to attend, please register via the meeting registration link provided above. Dinner attendees will be charged \$115.00. Please note

that, if you cancel within 72 hours of the dinner, your payment will not be refunded.

We look forward to seeing you at the October Committee meeting and dinner!

Sarah A. Bessin
Associate General Counsel

Joshua Ratner
Chairman - SEC Rules Committee

[Attachment](#)

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