

MEMO# 16939

January 5, 2004

JANUARY MEETING AGENDA AND DISCUSSION TOPICS

[16939] January 5, 2004 TO: BOARD OF GOVERNORS No. 1-04 RE: JANUARY MEETING AGENDA AND DISCUSSION TOPICS In a departure from the past several January Board meetings, we have scheduled only one speaker to address the meeting. SEC Commissioner Paul Atkins will join the Board on Monday morning January 26, 2004 for an open discussion session that should last one hour. The remainder of the meeting time, including breakfast discussion sessions on both mornings, has been set aside for open discussion of the topics that are of greatest interest to Governors. The regular meeting agenda will include a wide range of regulatory and legislative topics related to the trading scandals that require consideration and approval by the Board. However, I expect there will be a significant amount of time that can be devoted to discussion among Board members, either as a full group or in smaller groups, interested in specific topics. I am writing to solicit your input on specific topics you would like to have placed on the agenda for discussion. If there are particular aspects of the regulatory or legislative actions related to the trading scandals or other topics, such as the upcoming requirement that proxy votes be disclosed or the NASD Task Force on omnibus accounts, that you would like to discuss, please send us your thoughts so that we can include these on the agenda. Also, if you have suggestions for topics that are best suited for discussion in smaller group settings or during breakfast discussion sessions, please include that information. Please send your suggestions to Larry Maffia via fax (202-326-5806). If you prefer to send your comments via e-mail, Larry can be reached at maffia@ici.org. Thank you for taking time to send us your suggestions. I look forward to seeing you at the end of January. Matthew P. Fink President

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