

MEMO# 14035

October 10, 2001

2001 EQUITY MARKETS CONFERENCE - REMINDER

[14035] October 10, 2001 TO: ACCOUNTING/TREASURERS MEMBERS No. 29-01 CLOSED-END INVESTMENT COMPANY MEMBERS No. 32-01 COMPLIANCE ADVISORY COMMITTEE No. 47-01 EQUITY MARKETS ADVISORY COMMITTEE No. 36-01 INTERNATIONAL MEMBERS No. 19-01 INVESTMENT ADVISER MEMBERS No. 25-01 OPERATIONS MEMBERS No. 22-01 PRIMARY CONTACTS - MEMBER COMPLEX No. 76-01 SEC RULES MEMBERS No. 68-01 SMALL FUNDS MEMBERS No. 29-01 TRANSFER AGENT ADVISORY COMMITTEE No. 76-01 RE: 2001 EQUITY MARKETS CONFERENCE - REMINDER The Investment Company Institute's Equity Markets Conference will be held as scheduled on Wednesday, October 24, 2001, at the Hilton New York, 1335 Avenue of the Americas, New York, New York. The conference will feature panel discussions covering a variety of equity markets issues. The morning session will consist of a panel on the listed securities market including a discussion of the impact of decimalization on institutional trading and the role of regional exchanges, as well as a panel on compliance issues and institutional trading including a discussion of best execution and soft dollars. Moderators and speakers for the morning session include: Catherine R. Kinney, Group Executive Vice President, New York Stock Exchange; Gus Sauter, Managing Director, The Vanguard Group; Robert B. Fagenson, Vice Chairman, Van Der Moolen Specialists USA; Gerald T. Lins, General Counsel, ING Furman Selz Asset Management; Andrew M. Brooks, Vice President and Head of Equity Trading, T. Rowe Price Associates; Peter Jenkins, Managing Director and Head of Global Equity Trading, Zurich Scudder Investments; John A. McCarthy, Associate Director, Market Oversight, Office of Compliance Inspections and Examinations, Securities and Exchange Commission; Thomas P. Lemke, Partner, Morgan Lewis; and Robert Schwartz, Professor of Finance, Baruch College. Laura S. Unger, Commissioner, U.S. Securities and Exchange Commission, will be the featured luncheon speaker. 2 The afternoon session will consist of a panel on the Nasdaq Stock Market including a discussion of commission-based trading in the Nasdaq Market and the SuperSOES and SuperMontage systems, as well as a panel on institutional trading tools including a discussion of institutional trading platforms and ECNs and electronic exchanges. Moderators and speakers for the afternoon session include: Robert L.D. Colby, Deputy Director, Division of Market Regulation, U.S. Securities and Exchange Commission; Bruce Turner, Executive Vice President, The Nasdaq Stock Market; Joseph Della Rosa, Managing Director, Goldman Sachs; Michael Cormack, President, Archipelago; Seth Merrin, Chief Executive Officer, Liquidnet; Christopher Heckman, Managing Director, ITG; Leo Smith, Managing Director and Head of Equity Trading, Putnam Funds; Richard P. Felegy, Senior Vice President, Morgan Stanley Investment Management; John J. Wheeler, Manager - Equity Trading, American Century Investment Management; and Ann C. Hartwell, Senior Vice President and Director of Equity Trading, MFS Investment Management. If you have not yet

registered for the Conference, please return the registration form and the appropriate fee to the Institute's Conference Division as soon as possible. Online registration is available at <http://conferences.ici.org>. Additional meeting and registration information also is available by contacting the Institute's Conference Division at 202-326-5968, by mail at 1401 H Street, NW, Suite 1200, Washington, DC 20005, or by fax at 202-326-8307. Ari Burstein
Associate Counsel

Source URL: <https://icinew-stage.ici.org/memo-14035>

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.