

MEMO# 34156

May 24, 2022

Registration Open for June 29 SEC Rules Committee Meeting-Guest Speakers Announced!

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TO: SEC Rules Committee RE: Registration Open for June 29 SEC Rules Committee Meeting-Guest Speakers Announced!

On Wednesday, June 29, from 12-3:30 pm ET, ICI will hold a members-only meeting of the SEC Rules Committee. We plan to hold the meeting in person in Washington, DC, with the option to participate virtually. For members attending the meeting in person, we plan to hold a happy hour reception on Wednesday afternoon after the meeting concludes.

We are pleased to have several guest speakers from FINRA joining us for a discussion at the meeting. Meredith Cordisco, Richard Vagnoni, and Gene DeMaio will speak about [FINRA's recent proposal on complex products and options](#). Patrick Geraghty, Joseph Schwetz, and Adam Kezsbom will speak about FINRA's approach to TRACE reporting, including any potential changes that FINRA may be considering (e.g., whether FINRA may propose accelerating the reporting timeframes in TRACE and/or publicly disseminating data on individual Treasury transactions, as suggested recently by [SEC Chair Gensler](#)).

If you plan to attend the June meeting, please visit our registration site at <https://cvent.me/LkAvvO>. Please include on the online registration form any particular topics you would like to discuss with other members at the meeting, as well as any issues you would like our FINRA guests to address. To make our meeting as relevant and useful as possible to you, we may reach out in advance to request that you raise discussion topics of interest and ask questions during our meeting. Please consider topics and questions you would like to discuss with the committee. We will circulate a draft agenda and materials closer to the date of the meeting.

You may participate in the meeting in person, by video or by phone. We request that only one representative of each member firm attend the meeting in person so that we have space to accommodate everyone. Prior to the meeting, we will send an individualized link to each member that plans to participate in the meeting on a virtual basis. This individualized link will work only for you. Accordingly, please make sure you save it to your calendar.

We request that you do not forward your calendar invitation for the meeting to others. Because it is an individualized link, it will not work for your colleagues. Consistent with our guidelines, this meeting is limited to members of the SEC Rules Committee. If you would like additional colleagues at your firm to participate in the meeting, please contact Monique Curtis at monique.curtis@ici.org and she will assist them in registering directly for the meeting. This will help us maintain the confidentiality of our meeting and allow us to monitor the number of attendees. We appreciate your cooperation.

If you have questions or need assistance registering for the meeting, please contact monique.curtis@ici.org or sarah.bessin@ici.org. We look forward to having you join us for our June meeting!

Sarah A. Bessin
Associate General Counsel

Joshua Ratner
Chairman - SEC Rules Committee

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