

**MEMO# 35369**

July 10, 2023

## July 18 and 20: ICI Member-Only Webinars on State ESG Matters

[35369]

July 06, 2023

TO: Chief Risk Officer Committee  
ESG Advisory Group  
ESG Fund Disclosure Working Group  
ESG Public Company Disclosure Working Group  
EU CSDDD Working Group  
EU Sustainable Finance Disclosure Regulation Working Group  
Europe Regulatory and Policy Committee  
SEC Rules Committee RE: July 18 and 20: ICI Member-Only Webinars on State ESG Matters

Dear Members,

We invite you to join us for state ESG-related webinars on July 18 and 20. These webinars are free to attend and an exclusive opportunity for ICI members.

The first webinar, on July 18, will explore how the National Securities Market Improvements Act of 1996 (NSMIA) circumscribes state regulatory authority over federally registered investment companies, broker-dealers, and investment advisers.

The July 20 webinar will explore actions that state legislatures and regulators have taken to restrict or promote ESG-related investing in their states. Several panelists who work closely on these issues will inform us of the most recent developments and what to look out for this fall.

Below is a description of the panels.

### **NSMIA: A Look Backward and a Look Forward**

July 18, 2:00–3:00 p.m. ET

**Tami Salmon**, Associate General Counsel, ICI, *Moderator*

**Jason Pinney**, Partner, Morgan, Lewis & Bockius

**Steven Stone**, Partner, Morgan, Lewis & Bockius

**Rob Sweeney**, Government Affairs Officer, State Policy, ICI

The panel will provide a refresher on NSMIA, the statute that governs the authority states have over federally registered investment companies, investment advisers, and broker-dealers. Panelists will discuss the history of the reforms NSMIA made to the federal securities laws and its implications for current and future state activities.

**Join Zoom Meeting**

<https://ici-org.zoom.us/j/92666991243?pwd=M3lrcWRNbZTtaEFuVk4vM25FRkdhdz09>

Meeting ID: 926 6699 1243

Passcode: 559408

**One tap mobile**

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## **The State of the States: A Look at How States Are Reacting to ESG Investing**

July 20, 2:00–3:00 p.m. ET

**Josh Weinberg**, Associate General Counsel, ICI, *Moderator*

**Rob McKenna**, Partner, Orrick

**Mark Perlow**, Partner, Dechert

**Amy Roy**, Partner, Ropes & Gray

State officials—including legislators, attorneys general, treasurers, secretaries of state, and others—have recently taken a variety of measures in reaction to ESG investing. The panel will discuss state requirements, Civil Investigative Demands (CIDs), and other recent developments along with practical considerations for asset managers in this dynamic area.

**Join Zoom Meeting**

<https://ici-org.zoom.us/j/97684618877?pwd=ZkMzelg0SUhyQUUNucGwxbHhWQ28wQT09>

Meeting ID: 976 8461 8877

Passcode: 113854

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If you have any questions or otherwise need assistance, please contact Josh Weinberg at [joshua.weinberg@ici.org](mailto:joshua.weinberg@ici.org).

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