

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

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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>

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If you have any questions or otherwise need assistance, please contact Josh Weinberg at joshua.weinberg@ici.org.

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