

VIDEO

July 10, 2018

ICI Webinar: Gain Insights About Key Activities of ICI's Broker-Dealer and Bank, Trust and Retirement Advisory Committees Archive Recording

Gain Insights About Key Activities of ICI's Broker-Dealer and Bank, Trust and Retirement Advisory Committees

On Tuesday, July 10, the first in a series of webinars provided participants with timely information about key ICI Broker-Dealer Advisory Committee (BDAC) and Bank, Trust and Retirement Advisory Committee (BTRAC) activities related to:

- SEC's proposed standards of conduct
- C-share conversion practices
- Account transfers, including work with SIFMA's Customer Account Transfer (CAT) division
- Mutual Fund Profile Security Database
- Operations Response Task Force
- Blue-sky reporting
- Large trade notification utility
- Bank/trust use of the Financial Intermediary Controls and Compliance Assessment (FICCA)

Though the webinar was designed for operations and compliance professionals in the asset management industry, all representatives from ICI member firms were welcome to attend.