

2018 GMM

60
YEARS

GENERAL MEMBERSHIP MEETING

May 22–24 | Washington Hilton Hotel | Washington, DC

Registration Form

NAME MR. [] MRS. [] MS. []

BADGE NAME

TITLE

NAME OF ORGANIZATION

SPOUSE OR GUEST NAME

STREET ADDRESS

CITY/STATE/ZIP

CELL PHONE (NUMBER WHILE TRAVELING)

TELEPHONE

FAX

EMAIL (TO RECEIVE REGISTRATION CONFIRMATION)

Please let us know if you would like your email address shared with conference sponsors and affiliate groups hosting social events at the 2018 General Membership Meeting. Yes [] No []

REGISTRATION FEES

ICI members: \$1,500

(ICI members include directors, trustees, officers, partners, and employees of organizations that are currently members of the Institute.)

Associate member firms are limited to two conference registrations.)

Nonmembers: \$2,250

(Nonmembers include outside counsel, transfer agents, custodians, and service providers.)

Independent directors/Trustees: \$750

(of ICI member funds)

Government employees: \$750

Spouse/Guest: \$600

(Spouses and guests may attend the dinner, receptions, and the Exhibit Hall, but not the conference sessions.)

REGISTRATION FEES FOR EXHIBITOR PERSONNEL

On-site representatives are required to register and pay a registration fee. **One complimentary conference pass is included with each booth reservation.** ICI does not offer exhibit-only registrations. Please note: you must reserve a booth before you can register as an exhibitor for this conference.

Member exhibitors: \$1,500
Nonmember exhibitors: \$2,050
Exhibitor booth personnel: \$650

Please indicate if you are an:

- Exhibiting member firm
 Exhibiting nonmember firm

TOTAL AMOUNT ENCLOSED: \$

PAYMENT METHOD

Mailed registrations may only be paid by check or money order. Please make checks payable to the Investment Company Institute.

REMITTANCE INSTRUCTIONS

If you register by **mail**, please return the completed form with a check to:

Investment Company Institute
PO Box 759456
Baltimore, MD 21275-9456

If you register via **overnight service**, please return the completed form with check to:

Investment Company Institute
Attn: Lockbox 759456
7175 Columbia Gateway Drive
Columbia, MD 21046

Note: Payment for registration fees must accompany all registration forms. Do NOT send registration forms in advance of mailing a check. Registrations received without payment information will not be processed. A notice of confirmation will be emailed within one business day for online registrations, and within 10 business days for registrations with check payment.

REGISTRATION AND CANCELLATION DEADLINES

Registrations are accepted on a first-come, first-served basis, and will not be accepted by phone. Cancellations received by **May 15, 2018**, are subject to a \$300 administrative fee.

Note: After May 15, we regret that no registration fees can be refunded.

Please select the conference/workshop that you are most interested in attending:

- General Membership Meeting
- Mutual Fund Compliance Programs Conference
- Operations and Technology Conference
- Fund Directors Workshop

TUESDAY, MAY 22

- 1:00–3:00 p.m. | Exhibit Hall Open
- 3:00–3:10 p.m. | Welcome and Opening Remarks
- 3:10–4:00 p.m. | James Gorman: A Keynote Address to the Fund Industry
- 4:00–5:00 p.m. | David M. Rubenstein in Conversation with Paul Schott Stevens
- 5:00–7:00 p.m. | Welcome Reception and Legal Forum

WEDNESDAY, MAY 23

7:30–8:45 a.m.

BREAKFAST DISCUSSION SESSIONS*

Choose one of the following:

- GMM: Closed-End Fund Matters
- GMM: The ETF Marketplace
- GMM: Fund Distribution
- GMM: Opportunities and Challenges Facing Global Fund Managers
- Compliance: Small Fund Complexes**
- Compliance: Medium Fund Complexes**
- Compliance: Large Fund Complexes**
- Ops: Protecting Fund Shareholders—Fraud Prevention Strategies
- IDC: Fund Directors Workshop Breakfast
- I will not attend a breakfast session and/or will have breakfast in the exhibit hall

* Breakfast discussion sessions are closed to the media.

** Compliance breakfast discussions are open only to ICI members who are registered for the Mutual Fund Compliance Programs Conference.

9:00–9:15 a.m. | GMM/IDC Opening Address

CONCURRENT SESSIONS

I would like to attend the following concurrent sessions:

- 9:00–10:05 a.m.
 - Compliance: Happenings: The Regulatory Year in Review
 - Ops: Executive Insights
- 9:15–10:05 a.m.
 - GMM/IDC: Facing the Future: Fresh Perspectives

10:15–11:05 a.m.

- Compliance: Data Science: Adding Data Mining to the Compliance Tool Box
- GMM/IDC: Investing Today: Insights, Risks, and More
- Ops: The Art of Perception: Challenging Assumptions in Today's Fast-Moving World
- I will not attend a concurrent session.

11:05–12:15 p.m.

- GMM/Ops/Comp: Reception and Legal Forum

11:15 a.m.–12:05 p.m.

- IDC: New Regulatory Requirements—What Are Funds Doing to Get Ready?

12:15–2:00 p.m.

- Luncheon with Keynote Speaker
- I will not attend the luncheon.

2:20–3:15 p.m.

- Compliance: Symbiosis: Advisers and Subadvisers Working Together
- GMM: Cross-Border Challenges and the Global Convergence of Regulatory Matters
- IDC: Making the Most of the Board-CCO Relationship
- Ops: Rethinking How We Approach the Business: Insights from Emerging Leaders
- I will not attend a concurrent session.

3:30–4:30 p.m.

- Compliance: Superintendence: Overseeing Third-Party Vendors
- GMM/Ops/IDC: Cybersecurity Concerns: How to Protect Fund Shareholders
- I will not attend a concurrent session.

4:30–6:30 p.m.

- Reception and Legal Forum
- I will not attend the reception and Legal Forum.

4:45–5:30 p.m.

- IDC: Follow-Up to GMM Cybersecurity Session: Considerations for Fund Directors

7:00–10:00 p.m.

- Dinner Reception at the Smithsonian National Museum of African American History and Culture
- I will not attend the dinner.

THURSDAY, MAY 24

7:30–8:45 a.m.

- Regulatory Session: A Conversation with SEC Commissioner Michael S. Piwowar

9:00–9:50 a.m.

- Compliance: Across the Pond: EU/UK Issues Affecting US Firms
- GMM/Ops/IDC: Technology Disruptors
- I will not attend a concurrent session.

10:00–11:00 a.m.

- GMM/OPS/IDC: Closing Session

10:00–10:10 a.m.

Compliance: Modern Compliance: Best Practices for Securities and Finance

10:10–11:15 a.m.

Compliance: Your Questions Answered: The Lightning Round

MISCELLANEOUS

The Investment Company Institute assumes no liability for nonrefundable transportation costs, hotel accommodations, or additional costs incurred by registrants.

Program and speakers are subject to change without notice.

SERVICES

Check here if you need services due to a disability.

Check here if you have dietary restrictions.

Please specify below:

AREA OF EXPERTISE

Please check the box next to the area that most closely matches your position's responsibilities:

CEO/President

Compliance

Independent director

Legal/Regulatory

Marketing/Communications

Operations/Servicing

Product Development

Public Relations

Research/Analysis

Sales/Distribution

Technology

Other: _____

QUESTIONS

Investment Company Institute Conference Division

Telephone: 202-326-5968

Email: conferences@ici.org

Website: <http://gmm.ici.org>