

**IF YOU INVEST CLIENT ASSETS IN MUTUAL FUNDS OR ETFS
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PLEASE ATTEND OCTOBER 24

FREE BREAKFAST (8-9 AM) & PRESENTATION (9-11 AM)

CINTAS CENTER, XAVIER UNIVERSITY, CINCINNATI

Advancing Fund Governance, The Greater Cincinnati Mutual Funds Association, and the D'Artagnan Capital Fund ask that you join us for a gathering of investment professionals, fund trustees, and professional service providers. We will hear from senior leaders of the Investment Company Institute, the fund industry's voice in Washington DC. So if you advise or serve a fund, are thinking of launching a fund, or use them in your investment practice, you'll come away with actionable information about this significant business.



GUEST PRESENTERS

KARRIE MCMILLAN, ICI GENERAL COUNSEL

ROCHELLE ANTONIEWICZ, ICI SENIOR ECONOMIST

MICHELLE MESACK, ICI FINANCIAL SERVICES POLICY DIRECTOR

ANNETTE CAPRETTA, DEPUTY MANAGING DIRECTOR OF INDEPENDENT DIRECTORS COUNCIL

The gathering will be held at the Cintas Center on the campus of Xavier University, with breakfast at 8 am and presentations 9 to 11 am. Free parking with pass (details below).

For information on our guest presenters, please see "Current Events" at www.advfdgov.org. Questions? Please e-mail info@advfdgov.org. Please also visit the event sponsors on the web: www.advfdgov.org www.gcmfa.org <http://www.xavier.edu/williams/equity-fund/>

PLEASE REGISTER BY OCTOBER 15 - E-mail the information on the following page to info@advfdgov.org, call (513) 939-2652, or fax the form below to (513) 939-2653.



Greater Cincinnati Mutual Funds Association



Directions and parking information at <http://www.cintascenter.com/directions/> and or by calling the Xavier Recorded Directions number at (513)745-3222.

Free parking the morning of the presentation **with** your parking pass, available by request at info@advfdgov.org.

This **no-cost event** is presented by Advancing Fund Governance and the Greater Cincinnati Mutual Funds Association, organizations committed to serving the mutual fund industry, and the D'Artagnan Capital Fund, a Xavier University student organization.

Advancing Fund Governance is grateful for the support and generosity of its sponsors

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Speakers

Karrie McMillan is General Counsel of the Investment Company Institute. She joined the Institute on September 3, 2007. McMillan, formerly a partner in the Asset Management Group at Willkie Farr & Gallagher LLP, serves as the Institute's chief legal officer, with responsibility for the full range of legal and regulatory matters affecting the Institute and its members, including securities, pension, tax, and international matters. Prior to her tenure at Willkie Farr in 2006, McMillan served at the SEC's Division of Investment Management from 1991 to 1998. She also helped found the Asset Management Group at Shearman & Sterling LLP in Washington, DC, in 1999. McMillan is a graduate of the College of William & Mary and the University of Virginia School of Law.

Rochelle Antoniewicz is a Senior Economist at the Investment Company Institute (ICI) where she conducts research on the structure and trends of the mutual fund and ETF industries and the broader financial markets. She also contributes to research initiatives to better understand the costs and benefits of laws and regulations governing mutual funds and ETFs. Prior to joining ICI in 2005, Antoniewicz served as an Economist and then as a Senior Economist in the Flow of Funds section in the Division of Research and Statistics at the Federal Reserve Board. She also possesses experience as an Economist at the Credit Union National Association and as an Adjunct Professor at Georgetown University. She earned a B.A. in Management Science from the University of California, San Diego and a Ph.D. in Economics from the University of Wisconsin, Madison.

Michelle Mesack is a Director of Financial Services Policy at the Investment Company Institute (ICI), where she focuses on government relations and public policy issues affecting investment companies such as mutual funds. Before joining ICI in June 2013, Mesack served as counsel for the Mutual Fund Directors Forum, where she managed outreach to Congress and advocated for the Forum's policy positions before regulatory agencies. Previously, she served as an associate with K&L Gates LLP's Investment Management Practice Group, representing investment companies, independent directors, and advisers on regulatory, compliance, and transactional issues. Early in her career, Mesack worked as a legislative assistant to Representative John Shimkus (R-IL) and legislative analyst for the House Republican Conference. Mesack earned a B.A. in political science from the University of the South, and a J.D. from the George Washington University Law School.

Annette Capretta is Deputy Managing Director of Independent Directors Council (IDC). Annette joined IDC in 2006 from the U.S. Securities Exchange Commission, where she had served in various capacities the Office of Risk Assessment, the Division of Investment Management, and the Division of Enforcement. Annette also was Vice President and Senior Counsel at Charles Schwab in San Francisco from 2000 to 2002. She began her career in private practice as a litigator, following a federal judicial clerkship. Annette graduated from the University of Virginia School of Law and earned a B.S. in Mathematics from the University of North Carolina.