

Draft date: 10/6/26

INVESTMENT DESIGNATION ANALYSIS (E) WORKING GROUP

Wednesday, October 28, 2026

2:00 – 3:00 p.m. ET / 1:00 – 2:00 p.m. CT / 12:00 – 1:00 p.m. MT / 11:00 a.m. – 12:00 p.m. PT

ROLL CALL

Ken Cotrone, Chair	Connecticut	Danielle Smith	Missouri
Amy Garcia, Vice Chair	Texas	Cynthia Iu	Nebraska
Laura Clements	California	Doug Stolte	Virginia
Carrie Mears	Iowa	Katy Bardsley	Washington
Gilbert Mendoza	Maryland	Amy Malm	Wisconsin

NAIC Committee Support: Charles Therriault/Hankook Lee/Marc Perlman

AGENDA

Discuss and Consider Adoption of:

1. Consider Adoption of its Summer National Meeting Minutes
(Doc. ID: 2026-008.13)
—Ken Cotrone (CT) Attachment 1

2. A Proposed Amendment to the *Purposes and Procedures Manual of the NAIC Investment Analysis Office* (P&P Manual) to Update the Filing Exempt (FE) Treatment of Collateralized Loan Obligations (CLOs)
(Doc. ID: 2026-007.02, 2026-007.03) Attachments 2 and 3
—Ken Cotrone (CT), Charles Therriault (NAIC), Hankook Lee (NAIC), and Marc Perlman (NAIC)

Discuss and Consider Exposure of:

3. A Proposed P&P Manual Technical Amendment to Expand Eligibility for The NAIC U.S. Government Money Market Fund List to Include Master/Feeder Fund Structures
(Doc. ID: 2026-011.01) Attachment 4
—Ken Cotrone (CT), Charles Therriault (NAIC), and Marc Perlman (NAIC)

4. A Proposed P&P Manual Amendment to Update the Eligible Security Identifiers to File a Security Attachments 5 and 6
(Doc. ID: 2026-012.01, 2026-012.02)
—Ken Cotrone (CT), Charles Therriault (NAIC), and Marc Perlman (NAIC)

5. A Proposed P&P Manual Technical Amendment to Update the Reporting Guidance for the SVO Analytical Department Symbol “ER” (Doc. ID: 2026-013.01, 2026-013.02)
—*Ken Cotrone (CT), Charles Therriault (NAIC), and Marc Perlman (NAIC)* Attachments 7 and 8
6. A Proposed P&P Manual Technical Amendment to Include Publishing the List of Broadly Syndicated Loan Collateralized Loan Obligations (CLOs) Impacted by the Tranche Thickness Risk-Based Capital (RBC) Guidance (Doc. ID: 2026-014.01)
—*Ken Cotrone (CT), Charles Therriault (NAIC), Hankook Lee (NAIC), and Marc Perlman (NAIC)* Attachment 9
7. Discuss Any Other Matters Brought Before the Task Force
8. Adjournment