

**MEMO# 25345**

July 21, 2011

## July 2011 - Regulatory Actions Matrix

[25345]

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TO: TRANSFER AGENT ADVISORY COMMITTEE No. 58-11 RE: JULY 2011 - REGULATORY ACTIONS MATRIX

The updated Regulatory Actions Matrix ("RAM") is attached for your information. The RAM provides high level information on regulatory actions impacting fund transfer agents, including a brief description, ICI memo numbers for reference, and the name and contact information for the ICI staff member responsible for working with regulators and members on the action. The document can be found in Excel format on the TAAC page of the ICI website, located at <http://www.ici.org/committees/taac>, and can be sorted based on certain information, such as the compliance date of the action. The RAM is updated four times a year on the schedule of the Committee's quarterly meetings.

The information contained in the Regulatory Actions Matrix is the proprietary and confidential property of the Investment Company Institute (ICI). The RAM does not include all regulatory actions that impact ICI member firms. You may share the RAM with your firm's employees, agents and fund directors, so long as the firm, its employees and any such agents or directors do not disclose, publish, or otherwise share the RAM with other persons without the prior written authorization of the ICI.

Please feel free to contact me at [butler@ici.org](mailto:butler@ici.org) and 202-326-5850 with any questions or comments on this document.

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Director - Transfer Agency & International Operations

[Attachment](#)

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