

**MEMO# 25195**

May 18, 2011

## **TAAC Regulatory Actions Matrix**

[25195]

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TO: TRANSFER AGENT ADVISORY COMMITTEE No. 35-11 RE: TAAC REGULATORY ACTIONS MATRIX

The Transfer Agent Advisory Committee ("TAAC") established a task force, chaired by Mary Corcoran of Invesco Investment Services, to develop a matrix of regulatory actions that impact mutual fund transfer agency operations. In order for a regulatory action to be included in the document, there must be an ICI memo to TAAC members on the action.

The attached Regulatory Actions Matrix ("RAM") provides high level information on each action, 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 is in Excel format and can be sorted based on certain information, such as the compliance date of the action. The RAM will be updated four times a year and will be provided to the TAAC at each of the Committee's quarterly meetings. In addition, the RAM is available on the TAAC page of the ICI website.

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.

I am sure you will join me in thanking Mary Corcoran and the other members of the Task Force for developing this great resource for use by TAAC members. 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.

Diane M. Butler  
Director - Transfer Agency & International Operations

[Attachment](#)

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