

MEMO# 21679

September 28, 2007

Model Information Sharing Agreement for 403(b) Plans

[21679]

September 28, 2007

TO: PENSION COMMITTEE No. 28-07

PENSION OPERATIONS ADVISORY COMMITTEE No. 29-07

TRANSFER AGENT ADVISORY COMMITTEE No. 66-07 RE: MODEL INFORMATION SHARING
AGREEMENT FOR 403(b) PLANS

Attached is the ICI Model Information Sharing Agreement for 403(b) Contract Exchanges.

[1] The model also is available in Microsoft Word by clicking on the following link:
<http://members.ici.org/survey/21679attach.doc>. The model is meant to assist ICI members
in satisfying the information sharing requirements for contract exchanges included in the
final regulations under Code section 403(b). [2] Members may use the model agreement
on a voluntary basis and may modify its provisions as desired.

We anticipate that further guidance, as well as developing norms in the 403(b) community,
may result in revisions to the model agreement in the future. Please do not hesitate to
contact me with comments and suggestions as your firm implements the information
sharing requirements of the new regulations. I can be reached at 202/326-5821 or
ebarone@ici.org.

Elena Barone
Assistant Counsel

[Attachment \(in .pdf format\)](#)

[Attachment \(in .doc format\)](#)

endnotes

[1] See Memorandum to Pension Committee No. 27-07 and Pension Operations Advisory

Committee No. 28-07 [21611], dated September 18, 2007; Memorandum to Transfer Agent Advisory Committee No. 60-07 [21615], dated September 19, 2007.

[2] See [Memorandum](#) to Pension Members No. 43-07 [21395], dated July 27, 2007.

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