

MEMO# 21821

October 10, 2007

Model Information Sharing Agreement for 403(b) Plans

[21821]

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TO: BANK, TRUST AND RECORDKEEPER ADVISORY COMMITTEE No. 41-07
BROKER/DEALER ADVISORY COMMITTEE No. 65-07
OPERATIONS COMMITTEE No. 28-07 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](#)

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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