

**MEMO# 25571**

October 20, 2011

## **October 2011 - Regulatory Actions Matrix**

[25571]

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TO: TRANSFER AGENT ADVISORY COMMITTEE No. 86-11 RE: OCTOBER 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 Transfer Agent Advisory Committee ("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 RAM does not include all regulatory actions that impact ICI member firms, but only those that have been communicated to the TAAC. Communications from the ICI do not constitute, and should not be considered, a substitute for legal advice.

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

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[Attachment](#)

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