

MEMO# 2047

July 25, 1990

NASAA AMENDMENTS TO INVESTMENT ADVISER RULES UNDER THE UNIFORM SECURITIES ACT

July 25, 1990 TO: INVESTMENT ADVISER MEMBERS NO. 36-90 INVESTMENT ADVISER ASSOCIATE MEMBERS NO. 32-90 RE: NASAA AMENDMENTS TO INVESTMENT ADVISER RULES UNDER THE UNIFORM SECURITIES ACT

_____ As we previously informed you, the Financial Planner/Investment Adviser Committee of the North American Securities Administrators Association, Inc. (NASAA) proposed amendments to the model rules under the Uniform Securities Act and also held a meeting to consider those changes. (See Memorandum to Investment Adviser Members No. 15-90 and Investment Adviser Associate Members No. 14-90, dated May 2, 1990.) As described in that memorandum, we were pleased that the Committee included a number of the changes suggested by the Institute before submitting the proposed amendments to a membership vote. Those changes are reflected in the final amendments, a copy of which is attached. Amy B. Rosenblum
Assistant General Counsel Attachment

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