

**MEMO# 11074**

June 24, 1999

# **TRANSFER AGENT ADVISORY COMMITTEE YEAR 2000 TASK FORCE - BEHAVIORAL CONSIDERATIONS FOR Y2K CONTINGENCY PLANNING**

[11074] June 24, 1999 TO: BANK AND TRUST ADVISORY COMMITTEE No. 14-99  
BROKER/DEALER ADVISORY COMMITTEE No. 15-99 OPERATIONS COMMITTEE No. 25-99  
SMALL FUNDS COMMITTEE No. 6-99 TRANSFER AGENT ADVISORY COMMITTEE No. 40-99 RE:  
TRANSFER AGENT ADVISORY COMMITTEE YEAR 2000 TASK FORCE - BEHAVIORAL  
CONSIDERATIONS FOR Y2K CONTINGENCY PLANNING

---

The Transfer Agent Advisory Committee of the Investment Company Institute formed a Year 2000 Task Force earlier this year, Chaired by Tom Lanio of Van Kampen Investor Services Inc., with the objective of identifying and documenting a number of potential behavioral issues with respect to the Year 2000. The purpose of documenting such issues is to further discussion within the industry and to assist members in planning for a successful transition to the Year 2000. The intention is not to offer "best practices" advice or "industry standards", but, rather to assist in identifying issues to consider for capacity and contingency planning purposes. The Year 2000 document finalized by the task force is attached for your review and identifies a number of potential shareholder, operational, and employee issues for your consideration. If you have any questions regarding the attached document, please do not hesitate to contact the undersigned at 202- 326-5930 or [kjoaquin@ici.org](mailto:kjoaquin@ici.org). Kathleen C. Joaquin Director - Transfer Agency & International Operations Attachment