

**MEMO# 17559**

May 20, 2004

## **SEC DOCUMENT REQUEST LISTS FOR EXAM COVERING MUTUAL FUND AND ITS ADVISER, TRANSFER AGENT, AND DISTRIBUTION ARRANGEMENTS**

[17559] May 20, 2004 TO: BROKER/DEALER ADVISORY COMMITTEE No. 18-04 COMPLIANCE ADVISORY COMMITTEE No. 53-04 INVESTMENT ADVISER MEMBERS No. 9-04 OPERATIONS COMMITTEE No. 10-04 SEC RULES MEMBERS No. 75-04 SMALL FUNDS MEMBERS No. 55-04 TRANSFER AGENT ADVISORY COMMITTEE No. 47-04 RE: SEC DOCUMENT REQUEST LISTS FOR EXAM COVERING MUTUAL FUND AND ITS ADVISER, TRANSFER AGENT, AND DISTRIBUTION ARRANGEMENTS A mutual fund complex has shared with the Institute the document request lists it recently received from the San Francisco District Office of the Securities and Exchange Commission in advance of a routine examination by the SEC's Office of Compliance, Inspections, and Examinations (OCIE). In particular, OCIE's request consisted of the following three documents: • Investment Company Examination List of Books and Records Requested for Review, together with an attachment, "Shareholder Activity Workpaper;" • Investment Adviser Examination: List of Books and Records Requested for Review; and • Document Request List: Transfer Agent Examination. In connection with this examination, OCIE additionally requested, under separate cover, information relating to the funds' revenue sharing and portfolio brokerage commission practices. A copy of each of the above mentioned requests is attached for your information. Tamara K. Salmon Senior Associate Counsel Attachment (in .pdf format) Note: Not all recipients receive the attachments. To obtain copies of the attachments, please visit our members website (<http://members.ici.org>) and search for memo 17559, or call the ICI Library at (202) 326-8304 and request the attachments for memo 17559.