

MEMO# 11346

October 27, 1999

DRAFT AGENDA FOR NOVEMBER 4TH MEETING

[11346] October 27, 1999 TO: COMPLIANCE ADVISORY COMMITTEE No. 42-99 RE: DRAFT AGENDA FOR NOVEMBER 4th MEETING

_____. Attached is a draft agenda for the next meeting of the Compliance Advisory Committee, scheduled for Thursday, November 4th at 10:00 a.m. in the David Silver Conference Room on the 12th floor at the Institute. As previously indicated, Gene Gohlke of the SEC's Office of Compliance Inspections and Examinations will be joining us for an informal discussion of current issues at approximately 11:30 a.m. Lunch will be served following this part of the meeting. Many Committee members have expressed an interest in discussing the recent amendments to Rule 17j-1. At the meeting, we would like to solicit the Committee's assistance in identifying issues raised by the amendments. In addition, we will discuss any other personal investing/codes of ethics issues that members wish to raise. To allow adequate time, we plan to take up Rule 17j-1 and related issues after lunch. If you have not already done so, please fax your response to Cheryl DeShields at (202) 326-5827 or call (202) 326-5823 to let her know if you will attend the meeting. Frances M. Stadler Deputy Senior Counsel Attachment

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