

**MEMO# 4111**

September 23, 1992

## **NOTICE OF MEETING, OCTOBER 29, 1992**

September 23, 1992 TO: COMPLIANCE COMMITTEE NO. 15-92 RE: NOTICE OF MEETING, OCTOBER 29, 1992 \_\_\_\_\_ A meeting of the Compliance Committee has been scheduled for 10:00 a.m. on Thursday, October 29, 1992. The meeting will be held in the Institute's David Silver conference room. Lunch will be served after the meeting. One of the topics that will be addressed is recent cases against fund portfolio managers concerning activities resulting in personal benefit to the portfolio managers at the expense of the funds. (Copies of press articles describing some of these cases are attached.) We will discuss whether steps can be taken to prevent such occurrences in the future. If time permits, we also will discuss the FCC's multiple ownership rules, applicability of the Americans with Disabilities Act to investment companies, repropoed proxy rule amendments and any other issues raised at the meeting. Please indicate in the space provided below whether you, or an alternate, plan to attend the meeting and return this form to the Institute. Ellen Metzger Chairperson Please detach and return to Laura Pawlowski by October 8, 1992. YES NO COMPLIANCE COMMITTEE MEETING LUNCHEON AT INVESTMENT COMPANY INSTITUTE PLEASE PRINT NAME COMPANY NAME

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