

MEMO# 4180

October 15, 1992

NASAA COMMITTEE CHAIR ASSIGNMENTS FOR 1993

October 15, 1992 TO: INVESTMENT ADVISERS COMMITTEE NO. 37-92 STATE LIAISON
COMMITTEE NO. 42-92 UNIT INVESTMENT TRUST COMMITTEE NO. 60-92 RE: NASAA
COMMITTEE CHAIR ASSIGNMENTS FOR 1993

The Institute has been advised that the following individuals will serve as Committee Chairpersons for the North American Securities Administrators Association, Inc. during 1993: Broker-Dealer Section Broker-Dealer Regulation - Richard Hubbard (DE) CRD - Mark Holderman (OH) Investment Companies Sales Practices - Miriam Dant (IN) Small Business Sales Practices - Deborah Bortner (WA) Financial Planners/Investment Advisers - Verley Spivey (GA) Forms Revision - Constance White (UT) Uniform Examinations - Vacant Corporation Finance Direct Participation Programs - Jerry Baker (CA) International Corporation Finance - Irving Faught (OK) Investment Companies - Diane Young-Spitzer (MA) Merit Standards - Jack Herstein (NE) Registration Exemptions - Robert Lamm (PA) Small Business Capital Formation - Neal Sullivan (MA) Enforcement Section Enforcement Policy - Bill McDonald (CA) International Enforcement - Larry Carroll (AK) Zone - Robert Hooks (GA) Regulatory Liaison Federal Legislation - Susan Shands (MS) Investor Education - Joe Madden (AR) Franchise & Business Opportunities - Joe Bjerke (SD) In addition, the following NASAA Committees have been abolished: CRD User Panel, International Corporation Finance, Commodities, Investor Alert, Regulated Industries, and Tender Offer Regulation. Ellyn Brown, former Commissioner of the Maryland Securities Division, is currently serving as Acting Executive Director for the NASAA Corporate Office until the end of the year. It is anticipated that a permanent Executive Director will be named in the near future. We will keep you advised of developments. Patricia Louie Associate Counsel