

MEMO# 6934

May 16, 1995

FRAUD AND LOSS CONTROL WORKSHOPS

May 16, 1995 TO: ACCOUNTING/TREASURERS MEMBERS No. 23-95 BANK BROKER/DEALER ADVISORY COMMITTEE No. 14-95 BROKER/DEALER ADVISORY COMMITTEE No. 19-95 MEMBERS - ONE PER COMPLEX No. 46-95 OPERATIONS MEMBERS No. 22-95 SMALL FUNDS COMMITTEE No. 9-95 TRANSFER AGENT ADVISORY COMMITTEE No. 31-95 RE: FRAUD AND LOSS CONTROL WORKSHOPS

This is a reminder that the Investment Company Institute is hosting a one-day Fraud and Loss Control Workshop in Chicago, New York, Boston and San Francisco. The workshop is designed for mutual fund operations employees, risk managers, compliance officers and internal auditors. Panelists will be Jack Foley, Fidelity Investments; Michael Gillespie, The Pioneer Group; Janet O'Halloran, Oppenheimer Shareholder Services; and Natalie Shirley or Michael Mundt from ICI Mutual Insurance Company. The workshops will cover a variety of topics related to the detection and prevention of internal and external fraud; the investigation of a fraud case; employee awareness and training; and insurance coverage. Panelists will also discuss disaster recovery programs. A program agenda is attached. In addition to the panel discussions, each of the workshops will feature a guest speaker with fraud investigation and/or law enforcement experience in the area of fraud has been invited to speak to workshop attendees after lunch. Registration starts at 8:00 am. The program will begin at 9:00 am and conclude at approximately 4:00 pm. The dates and locations are as follows: CHICAGO Monday, June 5 The Tremont Hotel 100 East Chestnut Street Chicago, IL 60611 312/751-1900 Room Rate: \$150.00 single/double - 2 - NEW YORK Monday, June 19 The Drake Swissotel 440 Park Avenue New York, NY 10022 212/421-0900 Room Rate: \$145.00 single/double Hotel Cut-off: June 4, 1995 BOSTON Tuesday, June 20 The Colonnade Boston 120 Huntington Avenue Boston, MA 02116 617/424-7000 Room Rate: \$155.00 single/double Hotel Cut-off: May 30, 1995 SAN FRANCISCO Thursday, June 29 San Francisco Hilton and Towers 333 O'Farrell Street San Francisco, CA 94102 415/771-1400 Room Rate: \$145 single/double Hotel Cut-off: June 7, 1995 It is important to register for the workshops as early as possible since registration will be limited. For Boston and New York, registration is open only to Institute members and associate members until further notice. For the workshops in Chicago and San Francisco, members will be given priority, however, non-member registrations will be permitted on a space-available basis. To register, please return the attached registration form with the appropriate fee to the Investment Company Institute. Please make your own hotel reservations by calling the hotel directly. The address, telephone number, room rate, and registration cut-off for each hotel is listed above. A block of rooms has been reserved in each hotel under the name of the Investment Company Institute, so mention our name when you call. For additional information, please call the Institute's Conference Division at 202/326-5968. Justine Phoenix Director -

Operations/ Transfer Agency Attachment FRAUD AND LOSS CONTROL WORKSHOP
PRELIMINARY AGENDA S)) 8:00 - 9:00
am REGISTRATION AND COFFEE 9:00 - 10:15 am Welcome and Introduction

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