

**MEMO# 6324**

October 21, 1994

# **SURVEY OF MEMBER COMPLIANCE WITH RECOMMENDATIONS ON PERSONAL INVESTING**

October 21, 1994 TO: MEMBERS - ONE PER COMPLEX NO. 82-94 SEC RULES COMMITTEE NO. 114-94 RE: SURVEY OF MEMBER COMPLIANCE WITH RECOMMENDATIONS ON PERSONAL INVESTING \_\_\_\_\_ The SEC's Division of Investment Management has requested that the Institute report to the Division by December 15, 1994, regarding the number of funds that are adopting the Institute's recommendations on personal investing. The Division also requested a more detailed, follow-up report by April 1, 1995. The Division has stated that it will consider these reports "in determining whether to propose that rule 17j-1 be amended to provide uniform minimum standards for all codes of ethics." In order to respond to the Division's request by December 15th, the Institute requests that every member complete the attached survey and fax it to Tom Selman (fax number 202/326-5827) by November 1, 1994. You may contact Tom at 202/326-5819 if you have any questions. We do intend to maintain the confidentiality of individual member responses, but would appreciate being able to report on as complete an aggregate basis as possible. Thanks for your assistance in this regard. Paul Schott Stevens General Counsel Attachment

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