

MEMO# 11956

June 16, 2000

ICI CONFERENCE ON PRIVACY COMPLIANCE FOR MUTUAL FUNDS: LEGAL AND OPERATIONAL CONSIDERATIONS - SEPTEMBER 28, 2000

[11956] June 16, 2000 TO: COMPLIANCE ADVISORY COMMITTEE No. 21-00 ELECTRONIC COMMERCE ADVISORY COMMITTEE No. 4-00 INTERNAL AUDIT ADVISORY COMMITTEE No. 4-00 INVESTMENT ADVISER MEMBERS No. 20-00 OPERATIONS MEMBERS No. 13-00 PRIMARY CONTACTS - MEMBER COMPLEX No. 38-00 SEC RULES MEMBERS No. 40-00 SMALL FUNDS MEMBERS No. 12-00 TRANSFER AGENT ADVISORY COMMITTEE No. 26-00 UNIT INVESTMENT TRUST MEMBERS No. 16-00 TECHNOLOGY TASK FORCE SEC PRIVACY RULES WORKING GROUP RE: ICI CONFERENCE ON PRIVACY COMPLIANCE FOR MUTUAL FUNDS: LEGAL AND OPERATIONAL CONSIDERATIONS - SEPTEMBER 28, 2000

The Investment Company Institute will hold a one-day conference entitled "Privacy Compliance for Mutual Funds: Legal and Operational Considerations" on Thursday, September 28, 2000 at the Grand Hyatt Washington, 1000 H Street NW, Washington D.C. Conference registration will begin at 7:30 a.m. and the conference will adjourn at 4:15 p.m. A preliminary program and a registration form for the conference are attached. The conference will focus on legal and operational issues related to compliance with the privacy rules to be promulgated this month by the SEC under the Gramm-Leach-Bliley Act. As indicated on the attached preliminary conference program, the conference will feature a combination of plenary panels addressing issues of broad interest and applicability and concurrent working sessions, where conference attendees will have the option of participating in either a legal or an operations-oriented session. Please see the attached program for a description of the specific topics to be covered. The Institute reserves the right to alter the program as needed. The conference is designed for those involved in developing, implementing and/or monitoring compliance with policies and procedures designed to protect mutual fund shareholders' privacy. The program would be most useful for legal, compliance and operations personnel of mutual funds, investment advisers, or service providers to the fund industry. Please register early, as space is limited. Also, please keep in mind that it may not be possible to accommodate walk-in registrations. How to Register To register for the conference, please complete the attached registration form and return it, along with a check made payable to the Investment Company Institute. The registration fee, per registrant, is \$300 for Institute members and \$500 for non-members. Please note that there will be no refunds after September 21, 2000. Cancellations made prior to that and in writing will incur a \$150 Administrative fee. Accommodations Please

make your own hotel reservations by calling the Grand Hyatt Washington at 1-800-233-1234 or (202) 582-1234. To ensure the preferred single room rate of \$205, please make your reservation no later than August 28, 2000 and identify yourself as an Investment Company Institute conference attendee. More Information For more registration or logistical information, you may call our Conference Division at 202- 326-5968. For additional information on the program, please contact me at 202-371-5430. We look forward to seeing you on September 28th. Robert C. Grohowski Assistant Counsel Attachments

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