

MEMO# 14183

November 27, 2001

UPDATED SIA CONTACTS LIST FOR 2001 YEAR-END TAX REPORTING

[14183] November 27, 2001 TO: ACCOUNTING/TREASURERS MEMBERS No. 37-01 BANK AND TRUST ADVISORY COMMITTEE No. 23-01 BROKER/DEALER ADVISORY COMMITTEE No. 29-01 OPERATIONS MEMBERS No. 28-01 TAX MEMBERS No. 30-01 TRANSFER AGENT ADVISORY COMMITTEE No. 96-01 RE: UPDATED SIA CONTACTS LIST FOR 2001 YEAR-END TAX REPORTING The Institute previously distributed (1) the uniform file formats to be used by regulated investment companies ("RICs") when reporting 2001 year-end tax information to banks and brokers, (2) the updated listing of contact information for persons at banks to whom RICs may send 2001 year-end tax reporting information prepared by the American Bankers Association (called the "2001 ABA Contacts List") and (3) the procedures for RICs to access 2001 year-end tax information for real estate investment trusts.¹ Attached to this memorandum is the updated listing of contact information for persons at brokerage firms and other third-party intermediaries to whom RICs may send 2001 year-end tax reporting information prepared by the Securities Industry Association (called the "2001 SIA Contacts List"). The 2001 uniform file formats, 2001 ABA Contacts List and 2001 SIA Contacts List are available on the Institute's members-only internet home page at <http://members.ici.org> ("ICINet").² The Institute will post any further updates to the ABA or SIA contact lists on ICINet. Deanna J. Flores Associate Counsel Attachment Note: Not all recipients receive the attachment. To obtain a copy of the attachment, please visit our members website (<http://members.ici.org>) and search for memo 14183, or call the ICI Library at (202) 326-8304 and request the attachment for memo 14183. ¹ See Institute Memorandum to Accounting/Treasurers Members No. 35-01, Bank and Trust Advisory Committee No. 22-01, Broker/Dealer Advisory Committee No. 26-01, Operations Members No. 25-01, Tax Members No. 28-01 and Transfer Agent Advisory Committee No. 92-01, dated November 12, 2001. ² Those Institute members who have not been issued an ICINet password may receive one by accessing ICINet and completing the ICINet enrollment form.