

**MEMO# 13550**

May 29, 2001

## **NEW COURSES ON MUTUAL FUND TRANSFER AGENTS**

[13550] May 29, 2001 TO: TRANSFER AGENT ADVISORY COMMITTEE No. 39-01 RE: NEW COURSES ON MUTUAL FUND TRANSFER AGENTS The Investment Company Institute is pleased to introduce two new computer-based training courses. The Role and Responsibilities of a Mutual Fund Transfer Agent provides a detailed overview of the functions and responsibilities of a mutual fund transfer agent and its employees. This 4- to 5-hour course consists of interactive software divided into 12 modules, a series of final exercises (some with an option for audio), an online glossary and two sample mutual fund applications. For employees who need a less detailed overview of a mutual fund transfer agent, the Institute has introduced Mutual Fund Transfer Agents. This 3- to 4-hour course consists of interactive software divided into 11 modules, a series of final exercises (some with an option for audio), an online glossary and two sample fund applications. The course exercises include simulated telephone conversations between investors and mutual fund telephone representatives; differentiating transaction requests that are in good order from those not in good order; and identifying various tax mailings and mailing dates. The exercises also provide trainees with the opportunity to work with sample mutual fund applications. Both courses are designed for employees who: Respond to telephone and email inquiries from shareholders and financial advisors Process financial or maintenance transactions Work with NSCC programs and services Open, sort and scan incoming shareholder correspondence Are responsible for quality-assurance activities Supervise or manage transfer agent employees Because the courses are self-paced and divided into short modules, trainees have the option of proceeding through the courses in small chunks (30 minutes today, 10 minutes tomorrow, etc.) depending on their work schedules. An order form and flyers providing more detailed information about the courses' subject matter, pricing information and technical requirements are enclosed. In addition, sample course 2screens and downloadable demonstrations are available on the Institute's member website at <http://members.ici.org>. Please note that these new courses replace the Institute's video-based course, Transfer Agents: Basic Training. If you have any questions about the course or about any of the Institute's other continuing education and training resources, please contact me at 202/326-5883 ([brenner@ici.org](mailto:brenner@ici.org)) or Judy Lee at 202/218-3575 ([jlee@ici.org](mailto:jlee@ici.org)). Linda Brenner Director - Operations & Training Enclosures

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