

**MEMO# 10924**

April 22, 1999

## **SEC ISSUES FREQUENTLY ASKED QUESTIONS ON FORM 13F**

[10924] April 22, 1999 TO: CLOSED-END INVESTMENT COMPANY MEMBERS No. 15-99  
COMPLIANCE ADVISORY COMMITTEE No. 13-99 INVESTMENT ADVISER ASSOCIATE MEMBERS  
No. 8-99 INVESTMENT ADVISER MEMBERS No. 8-99 SEC RULES MEMBERS No. 26-99 RE: SEC  
ISSUES FREQUENTLY ASKED QUESTIONS ON FORM 13F

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The SEC's Division of Investment Management recently issued the attached Frequently Asked Questions ("FAQs") on Form 13F. As you know, Rule 13f-1 under the Securities Exchange Act of 1934 requires every institutional investment manager that exercises investment discretion with respect to accounts holding in aggregate at least \$100,000,000 in Section 13(f) securities to file Form 13F with the SEC. Among other things, the FAQs address who must file Form 13F, how to access the official list of Section 13(f) securities, filing deadlines, and requests for confidential treatment. The FAQs also address electronic filing of Form 13F on the SEC's EDGAR system, which is required as of April 1, 1999. The FAQs are attached and may also be accessed through the SEC's web site at [www.sec.gov](http://www.sec.gov) under "Current SEC Rulemaking." Gregory M. Smith Director - Operations/ Compliance & Fund Accounting

Attachment Note: Not all recipients receive the attachment. To obtain a copy of the attachment referred to in this Memo, please call the ICI Library at (202) 326-8304, and ask for attachment number 10924. ICI Members may retrieve this Memo and its attachment from ICINet (<http://members.ici.org>).

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