

**MEMO# 7345**

October 12, 1995

## **NOVEMBER 14 MEETING**

October 12, 1995 TO: COMPLIANCE COMMITTEE No. 41-95 RE: NOVEMBER 14 MEETING

\_\_\_\_\_ A meeting of the Compliance Committee has been scheduled for Tuesday, November 14. The meeting will be held at 2:00 p.m. in the Institute's David Silver Conference Room. We will discuss the following items at the meeting: (1) experience with the new Office of Compliance Inspections and Examinations; (2) NASD customer complaint rule; (3) NASD notice on mutual fund sales practices; (4) internal controls and oversight of derivatives investments; and (5) no-action letter concerning "bunching" of client orders. Please let Frances Stadler know if there are any other items that you would like to discuss at the meeting. She can be reached at 202/326-5822 and her fax number is 202/326-5827. Ellen Metzger Chairperson

\_\_\_\_\_ Please detach and return to Elizabeth Lyons, (202/326-5827, fax) at the Investment Company Institute, 1401 H Street, N.W., Washington, D.C., 20005-2148, by November 6, 1995. Yes  
No \_\_\_\_\_ Compliance Committee Meeting

\_\_\_\_\_ Print Your Name  
\_\_\_\_\_ Print Company Name