

MEMO# 3112

September 20, 1991

INSTITUTE COMMENTS ON INDIANA AND OREGON RULE PROPOSALS

September 20, 1991 TO: INVESTMENT ADVISERS COMMITTEE NO. 46-91 RE: INSTITUTE COMMENTS ON INDIANA AND OREGON RULE PROPOSALS

The Institute commented on recent rule proposals announced by the Indiana and Oregon securities departments. (See Institute Memoranda to Investment Advisers Committee No. 40-91 and Investment Adviser Members No. 38-91, Investment Adviser Associate Members No. 41-91, dated September 5, 1991 and September 11, 1991, respectively.) The Institute urged liberal waivers from investment adviser examination requirements in both states. The Institute also supported Indiana's proposed adoption of SEC Release 1092 regarding financial planners and others who provide investment advisory services. We will keep you informed of developments. W. Richard Mason Assistant Counsel - Pension Attachments

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