

MEMO# 2556

February 22, 1991

DRAFT AGENDA FOR MARCH 5 MEETING

February 22, 1991 TO: COMPLIANCE COMMITTEE NO. 2-91 RE: DRAFT AGENDA FOR MARCH 5 MEETING _____ As we stated in the notice of the March 5 meeting, one of the topics that will be discussed at the meeting is NASD issues. (See Memorandum to Compliance Committee No. 1-91, dated January 14, 1991) Attached is a draft agenda of NASD issues for the March 5th Committee meeting, which was prepared by Timothy Wasson of Federated Investors. As you can see, there are a number of questions posed on the agenda which should be considered prior to the meeting. In addition to NASD issues, and if time permits, we also will discuss compliance issues that arise in connection with retirement plans (e.g., are confirmations sent to 401K participants, are retirement brochures sent to prospective investors). Please let me know if there are any other agenda items that you would like to discuss at the meeting. I am looking forward to seeing you on March 5. Amy B.R. Lancellotta Assistant General Counsel Attachment

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