

**MEMO# 14257**

December 19, 2001

## **2001 SURVEY OF BEST PRACTICES FOR INDUSTRY TRANSFER OF ASSETS FORM**

[14257] December 19, 2001 TO: TRANSFER AGENT ADVISORY COMMITTEE No. 106-01 RE: 2001 SURVEY OF BEST PRACTICES FOR INDUSTRY TRANSFER OF ASSETS FORM A Task Force of the Investment Company Institute's Transfer Agent Advisory Committee (TAAC) was formed earlier this year in order to gather data regarding industry best practices with respect to the content and design of mutual fund transfer of assets forms. Monica Tarantino of Lord Abbett agreed to lead this effort and was assisted by representatives from AIM Fund Services, MFS Service Center, Delaware Service Co., Liberty Funds Services, Pioneer Investment and Alliance Fund Services in preparing the attached survey of best practices to use for standardizing mutual fund industry transfer of assets forms. All survey responses were aggregated and no individual complex name or data has been distributed or discussed in the attached survey of best practices document. The survey was prepared by the ICI for informational purposes only. Any decisions by Institute members in response to this material should be done independently. The aggregate survey results will be shared with the Committee and reviewed and discussed at future Committee meetings. We would like to extend our thanks to Monica Tarantino, formerly of Lord Abbett & Company who worked with TAAC member firms and the ICI staff in gathering the best practices data and in analyzing and summarizing the survey results. If you have any questions regarding the survey, please contact the undersigned at 202- 326-5930 or by email at [kjoaquin@ici.org](mailto:kjoaquin@ici.org). Kathleen C. Joaquin Director - Transfer Agency & International Operations Attachment (in .pdf format)

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