

**MEMO# 1379**

August 29, 1989

## **NASD SUPERVISORY PROCEDURES CHECKLIST**

August 29, 1989 TO: SEC RULES MEMBERS NO. 48-89 UNIT INVESTMENT TRUST MEMBERS  
NO. 45-89 BROKER/DEALER ADVISORY COMMITTEE NO. 40-89 CLOSED-END FUND  
MEMBERS NO. 39-89 RE: NASD SUPERVISORY PROCEDURES CHECKLIST

Attached is a checklist of the NASD supervisory procedures that the Philadelphia regional office of the NASD is currently using in connection with its inspection program. This checklist will be useful to ensure compliance with the supervisory procedures. This checklist was created by the Philadelphia office and has not been reviewed or approved by the national NASD office in Washington. For those of you who received a copy of the checklist at a workshop held by the Philadelphia office on May 9, 1989, please note that the checklist has since been revised. Although the checklist is stamped "draft," we were advised that it is currently being used in this form, but that it is subject to change. Amy B. Rosenblum Assistant General Counsel  
Attachment

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