

**MEMO# 3057**

August 28, 1991

## **1991-92 BLUE SKY COMPLIANCE WORKSHOPS**

August 28, 1991 TO: MEMBERS - ONE PER COMPLEX NO. 39-91 STATE SECURITIES MEMBERS NO. 40-91 BLUE SKY GUIDE RECIPIENTS RE: 1991-92 BLUE SKY COMPLIANCE WORKSHOPS \_\_\_\_\_ As you may remember, the Institute held a series of Blue Sky Compliance Workshops in 1987 and 1989. In response to the tremendous number of requests, the Institute will be repeating the workshops in four locations. The workshops will be held in San Antonio, San Francisco, New York and Boston. The program will cover all facets of registering a mutual fund in the individual states. The workshops are designed for employees who do blue sky work, as well as other employees who handle state-related issues. The workshop panel consists of Mary Anne Miller, Fidelity Services Company; Rosemary Milner, Delaware Management Company, Inc.; Elizabeth Nystedt, The Boston Company Advisors, Inc. and Thomas Joseph, Scudder Investors, Inc. The dates and locations for the Blue Sky Compliance Workshops are as follows:

- o SAN ANTONIO November 19, 1991 Hilton Palacio Del Rio 200 South Alamo San Antonio, TX 78205 (512) 222-1400 Rate: \$115 single/double Room Cut-off Date: October 18, 1991
- o SAN FRANCISCO February 5, 1992 Hotel Nikko San Francisco 222 Mason Street San Francisco, CA 94102 (415) 394-1111 Rate: \$145.00 single/double Room Cut-Off Date: January 1, 1992
- o NEW YORK February 26, 1992 LeParker Meridien New York 118 West 57th Street New York, NY 10019 (212) 245-5000 Rate: \$180 single/\$205 double Room Cut-Off Date: February 4, 1992
- o BOSTON March 18, 1992 The Back Bay Hilton 40 Dalton Street Boston, MA 02115 (617) 236-1100 Rate: \$89.00 single/double Room Cut-Off Date: February 24, 1992

The workshops are scheduled to run from 9:00 am to 4:00 pm with ample time for questions from attendees after each presentation. Luncheon will be served at noon. A copy of the preliminary agenda is attached. Registration for the New York and Boston workshops is restricted to employees of ICI member mutual funds. However, the San Antonio and San Francisco workshops will be open to outside law and accounting firms with ICI member connections. Please register promptly as space may be limited. (Due to space considerations, preference will be given to ICI members if necessary.) To register, simply complete the form provided and return it, along with a check for \$175 for the first registrant and \$100 for each additional registrant within the same member complex, to the Institute. Please make your own hotel reservations. A block of rooms has been reserved at each hotel under the name of the Investment Company Institute, so be sure to mention the Institute when you call. For additional registration information, please call Geoffrey Burke at (202) 955-3508. I look forward to seeing you at one of the workshops! Patricia Louie Assistant General Counsel Attachments REGISTRATION FORM INVESTMENT COMPANY INSTITUTE BLUE SKY COMPLIANCE WORKSHOPS LOCATION (check one) SAN ANTONIO - November 19, 1991 SAN FRANCISCO - February 5, 1992 NEW YORK - February 26, 1992 BOSTON - March

18, 1992 PLEASE TYPE OR PRINT -- Name(s) and Title(s) Registration Fee Name of ICI Member Firm \$175 for First Registrant Address \$100 for Each Additional Registrant City, State, Zip TOTAL FEES \$ (check enclosed) Telephone Return to: Investment Company Institute 1600 M Street, NW, Suite 600 Washington, DC 20036 ATTN: Geoffrey Burke We would appreciate the following information so that we can appropriately direct our presentation: 1. How many funds are there within your firm? 2. How many persons are responsible for your firm's Blue Sky filings? 3. Do you have a particular problem or area of concern? 4. How long have you been working in the Blue Sky area? BLUE SKY COMPLIANCE WORKSHOP Sponsored by the Investment Company Institute Preliminary Agenda Morning Session 8:30 - 9:00 am Registration and Coffee 9:00 - 9:10 am Welcome and Introduction 9:10 - 9:50 am Initial Registration in the States 9:50 - 10:25 am Blue Chip Exemption and Other Unique State Requirements 10:25 - 10:40 am Break 10:40 - 11:05 am Series Funds 11:05 - 11:35 am State Restrictions 11:35 - Noon Going Effective Noon - 1:15 pm Lunch Afternoon Session 1:15 - 1:45 pm Amendment Procedures 1:45 - 2:15 pm Required Routine Filings 2:15 - 2:40 pm Renewals 2:40 - 2:55 pm Break 2:55 - 3:20 pm Exemptions 3:20 - 3:35 pm Overview of Broker/Dealer Registration 3:35 - 4:15 pm New Developments

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