

**MEMO# 16165**

June 5, 2003

## **MODEL DOCUMENT REQUEST LIST FOR SEC EXAMINATIONS**

[16165] June 5, 2003 TO: ACCOUNTING/TREASURERS COMMITTEE No. 22-03 CLOSED-END INVESTMENT COMPANY COMMITTEE No. 38-03 COMPLIANCE ADVISORY COMMITTEE No. 43-03 INVESTMENT ADVISERS COMMITTEE No. 12-03 OPERATIONS COMMITTEE No. 9-03 SEC RULES COMMITTEE No. 54-03 SMALL FUNDS COMMITTEE No. 21-03 RE: MODEL DOCUMENT REQUEST LIST FOR SEC EXAMINATIONS The Securities and Exchange Commission's Office of Compliance Inspections and Examinations (OCIE) has implemented a new approach to inspections that focuses on registrants' control environment and compliance culture. Gene Gohlke, Associate Director of OCIE, recently shared with the Institute the revised model document request list that OCIE has developed in connection with this new approach. A copy of the request list, along with a memorandum from Gene Gohlke describing it, is attached. Frances M. Stadler Deputy Senior Counsel Attachment (in .pdf format)

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