

**MEMO# 8704**

March 10, 1997

## **SUMMARY OF SEC ENFORCEMENT PROCEEDINGS AND CASES INVOLVING VALUATION ISSUES**

\* See Memorandum to SEC Rules Members No. 16-97, dated February 28, 1997. March 10, 1997 TO: SEC RULES COMMITTEE No. 29-97 RE: SUMMARY OF SEC ENFORCEMENT PROCEEDINGS AND CASES INVOLVING VALUATION ISSUES

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The Institute recently sent to members a paper entitled "Valuation and Liquidity Issues for Mutual Funds."\* In connection with drafting the paper, the Institute asked outside counsel to prepare a memorandum summarizing SEC enforcement actions and court cases involving valuation issues. Attached for your information is a copy of that memorandum. Frances M. Stadler Associate Counsel Attachment (in .pdf format)

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