

MEMO# 3135

September 26, 1991

NOTICE OF MEETING; NOVEMBER 7, 1991

September 26, 1991 TO: COMPLIANCE COMMITTEE NO. 6-91 RE: NOTICE OF MEETING; NOVEMBER 7, 1991 _____ The next meeting for the Compliance Committee has been scheduled for November 7, 1991 at 10:00 a.m. The meeting will be held in the Institute's conference room. At the meeting, we will discuss compliance issues that have arisen under the recent amendments to Rule 2a-7 of the 1940 Act (governing money market funds) and to the rules under Section 16 of the 1934 Act (concerning reports of directors, officers and principal stockholders). We also will discuss the new NASD customer account information rule and the NASD's position on the use of "negative response" letters to switch customers from one mutual fund to another. In addition, if there are any topics that you would like the Committee to address at the November 7th meeting, please notify me prior to the meeting. Please contact Michele Dugue by November 1, 1991 at 202/955-3515 to let her know whether or not you will be attending the meeting. I am looking forward to seeing you on November 7. Amy B.R. Lancellotta Assistant General Counsel

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