

MEMO# 14622

April 10, 2002

2002 PORTFOLIO COMPLIANCE WORKSHOPS -- REMINDER

[14622] April 10, 2002 TO: ACCOUNTING/TREASURERS MEMBERS No. 9-02 COMPLIANCE ADVISORY COMMITTEE No. 31-02 INTERNAL AUDIT ADVISORY COMMITTEE No. 4-02 INTERNATIONAL COMMITTEE No. 28-02 OPERATIONS MEMBERS No. 9-02 PRIMARY CONTACTS - MEMBER COMPLEX No. 29-02 SEC RULES MEMBERS No. 23-02 TAX MEMBERS No. 18-02 RE: 2002 PORTFOLIO COMPLIANCE WORKSHOPS -- REMINDER This is to remind you of the Institute's 2002 Portfolio Compliance Workshops, which will be held in Los Angeles, CA, on Friday, May 17, 2002, at The Westin Bonaventure, and in Boston, MA, on May 30, 2002, at the Omni Parker House. The workshops will cover various aspects of mutual fund portfolio compliance, including the rules and regulations under the Investment Company Act of 1940 and other federal securities laws. The program will also include detailed discussions of specific portfolio compliance issues, such as ownership and reporting requirements, valuation and liquidity issues, best execution and soft dollars, and codes of ethics and insider trading procedures. The program will also discuss issues raised by recent SEC examinations and enforcement proceedings, and cover the staff's examination focus for 2002. Finally, the program will conclude with a dramatization of the handling of a mutual fund portfolio compliance problem. The program is designed for fund employees involved in portfolio compliance. Certificates of attendance for CPE purposes will be available for those attending the program. An application for continuing legal education (CLE) accreditation is currently pending. Panelists include: Christine C. Carsman, Director of Enterprise Risk Management & Compliance, Wellington Management Company, LLP Michael J. Downer, Senior Vice President, Capital Research and Management Company Phillip S. Gillespie, First Vice President, Merrill Lynch Investment Managers Larry G. Locke, Assistant General Counsel, Fidelity Management and Research Barry E. Simmons, Associate Counsel, Investment Company Institute (moderator) 2 Hotel Reservations: To make a reservation in Los Angeles, please call The Westin Bonaventure at 213/624- 1000 by April 19, 2002 to receive the \$169 single/\$189 double group rate. For Boston, please call the Omni Parker House at 617/227-8600 by April 25, 2002 to receive the \$199 single/double group rate. In order to obtain the special room rate, you must mention Investment Company Institute when making your reservation. Please note that the group rates and the availability of guest rooms cannot be guaranteed after the cutoff date. Travel Arrangements: Discount airfare is available through US Airways. Please call 877/874-7687, 8:00 am - 9:30 pm, Eastern Time. Refer to Gold File #73172255 in order to receive the special fare information. Discount airfare is available three days prior to and after the conference dates. The Institute has also negotiated discounted car rates through Avis. To obtain the discount information, call 800/331-1600 (24 hours a day, 7 days a week) and refer to AWD #J097768. Discounted rates through Avis are available seven days before and after the

conference dates. For registration information, please contact the Institute's Conference website at <http://conferences.ici.org> or phone 202/326-5968. For program information, please contact Gail Robinson in the Institute's Legal Department at 202/371-5405 (phone) or at grobinso@ici.org (email). We look forward to seeing you in May. Gail Robinson Legal Projects Assistant

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