

MEMO# 3020

August 16, 1991

DRAFT LETTER TO NASAA INVESTMENT COMPANY COMMITTEE REGARDING PROPOSED RECOMMENDATIONS

August 16, 1991 TO: CONTRACTUAL PLANS COMMITTEE NO. 9-91 RE: DRAFT LETTER TO
NASAA INVESTMENT COMPANY COMMITTEE REGARDING PROPOSED RECOMMENDATIONS

Attached is a draft letter to the
NASAA Investment Company Registration/Trading Practices Committee in response to
certain of the Committee's proposed recommendations with respect to state regulation of
contractual plans. (See Memorandum to Contractual Plans Committee No. 8-91, dated July
3, 1991.) Inasmuch as it is my understanding that the NASAA Committee has already
submitted its final report to the NASAA Board, I would like to submit the letter to the NASAA
Committee and a copy to each NASAA Board member by the end of August. Therefore, I
would appreciate your comments on the draft no later than Monday, August 26th. Patricia
Louie Assistant General Counsel Attachment

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