

**MEMO# 14895**

July 11, 2002

## 2002 QUALIFIED PLAN SURVEY

[14895] July 11, 2002 TO: TRANSFER AGENT ADVISORY COMMITTEE No. 52-02 RE: 2002 QUALIFIED PLAN SURVEY The Transfer Agent Advisory Committee established a task force, chaired by Mary Corcoran of AIM Fund Services, who developed the attached 2002 Qualified Plan Survey. This survey is designed to gather specific information on current practices and operational procedures for qualified plan accounts processed and serviced at the transfer agent that are not part of your "turnkey" or "packaged" plan business. We are requesting that mutual fund complexes on the Institute's Transfer Agent Advisory Committee complete the 2002 Qualified Plan Survey in order to obtain responses from a broad cross-section of the industry. As with all Institute surveys, data collected from each individual firm will remain confidential and only aggregate survey results will be reported to Committee members. This is a web-only survey. Fund complexes that participate should access and complete the survey on the specially designated address on the Institute's website. Your firm's designated survey contact may register to complete the survey at <http://surveys.ici.org/qualplan/>. Please submit your completed Qualified Plan Survey response online to the Institute no later than August 2, 2002. The attached survey copy is for your reference. If you have any questions regarding the survey, please direct your inquiries to the following Institute staff: Technical Issues (regarding web entry of the survey) - Lee Butler at [lbutler@ici.org](mailto:lbutler@ici.org) or 202-326-5931. Survey Content Issues - Kathy Joaquin at [kjoaquin@ici.org](mailto:kjoaquin@ici.org) or 202-326-5930. We encourage all TAAC members to complete the 2002 Qualified Plan Survey. The aggregate survey results will be reviewed and discussed at future Committee meetings. Once data is collected and analyzed by the Committee, the Task Force plans to develop recommendations regarding practices for qualified/small plans processing. 2 Thank you for your attention and participation in this important project. Kathleen C. Joaquin Director - Transfer Agency & International Operations Attachments Attachment no. 1 (in .pdf format)

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