

**MEMO# 9387**

November 3, 1997

# **SEC YEAR 2000 COMPLIANCE QUESTIONNAIRE**

[9387] November 3, 1997 TO: SEC RULES COMMITTEE No. 105-97 RE: SEC YEAR 2000  
COMPLIANCE QUESTIONNAIRE

\_\_\_\_\_ As discussed  
at the last meeting of the SEC Rules Committee, in connection with some recent SEC  
examinations of mutual fund complexes, the examination staff has requested information  
about Year 2000 compliance efforts. An example of the types of information the staff has  
requested is attached. We have been informed by a member of the SEC staff that all mutual  
fund and investment adviser examinations conducted this year (and possibly into next  
year) will cover Year 2000 compliance. Frances M. Stadler Associate Counsel Attachment

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