

MEMO# 9559

December 30, 1997

UPDATED CONTACT LIST FOR PROVIDING YEAR-END TAX INFORMATION TO BROKERS

[9559] December 30, 1997 TO: BANK AND TRUST ADVISORY COMMITTEE No. 15-97 RE:
UPDATED CONTACT LIST FOR PROVIDING YEAR-END TAX INFORMATION TO BROKERS

As reported in a memo dated November 7, 1997, (Accounting/Treasurers Members No. 45-97, Broker/Dealer Advisory Committee No. 18-97, Operations Members No. 27-97, Tax Members No. 42-97, Transfer Agent Advisory Committee No. 63-97) the ICI has proposed to the Securities Industry Association (SIA) that a uniform file format and standardized procedures be adopted to attend year-end tax reclassification. As an attachment to that memo, a list was circulated containing the names and contact information of the persons at various broker/dealers and other third party intermediaries to whom this year-end reclassification file should be sent. Since circulating that list on November 7, a number of additions and changes have been posted to the contact list. As a result, we are providing you now, attached to this memo, an updated version of the contact list. Please be advised that ICI members can access this contact list in automated form on the ICI's members website at the following address: <http://members.ici.org/p2/tax/index.html#1997>. Please note that a user account is required for access to this site. If you are an ICI member who does not yet have a user account, you can apply for one by filling out the "ICINet Enrollment" form at the site's homepage (<http://members.ici.org>). In addition to the contact list, automated files containing the year-end reclass file format, a description of the files data elements, and a depiction of how data should appear in the file are available at the same website address (<http://members.ici.org/p2/tax/index.html#1997>). If you have questions or concerns regarding the year-end reclass file, how to use it, how to access it on the ICI's members website, or, in the event you are not an ICI member, how to access the files described above in automated format, please do not hesitate to contact the undersigned at 202/326-5848. Thank you. Kevin Farragher Director - Operations Distribution & Service Attachment (in .pdf format)