

MEMO# 14596

April 2, 2002

PRELIMINARY AGENDA FOR APRIL 16-17, 2002

[14596] April 2, 2002 TO: TRANSFER AGENT ADVISORY COMMITTEE No. 26-02 RE: PRELIMINARY AGENDA FOR APRIL 16-17, 2002 The next meeting of the Transfer Agent Advisory Committee will be held on Tuesday April 16th from 3:00 – 5:00 p.m. ET and Wednesday, April 17th from 9:00 – 2:00 p.m. ET in the David Silver Conference Room (DSCR) on the 12th floor of the Investment Company Institute, 1401 H Street, NW, Washington, D.C. A preliminary agenda for the April 16th and 17th meeting, including “shop talk” topics, is enclosed for your review. The meeting agenda has been revised and on April 16th (from 3:00 – 5:00 p.m. EST) we have scheduled a joint meeting/conference call of the TAAC and the ICI’s Money Laundering Rules Working Group. At this session we plan to provide an update on the status of a number of rules that have recently been proposed that would implement various anti-money laundering provisions of the USA PATRIOT Act, including the implementation of anti-money laundering compliance programs by April 24th. This session will also provide an opportunity to discuss issues arising in adopting and implementing the various AML rules. David Fielder, Adviser to the Director of the Securities and Exchange Commission’s Division of Investment Management, will attend part of the meeting and will be available to respond to members’ questions on the various anti-money laundering rules and rule proposals. If you are not attending the April 16th TAAC meeting and would like to participate in the AML session by phone, please note that in order to do so, you must confirm your participation with Amanda Busick at the ICI at 202-326-5836 by Friday, April 5th. Also, to assist in preparations for this meeting, please use the attached AML Session form to indicate any specific compliance or interpretive questions or issues you would like to discuss at the meeting. We intend to compile the questions and issues raised on the forms and circulate them to the participants in advance of the meeting. The TAAC Committee dinner will be held on Tuesday, April 16, 2002 at the Caucus Room, located at 401 9th St., NW, Washington, DC. A reception will begin at 6:30 p.m. and dinner will follow at 7:00 p.m. All participants will be billed for their portion of the dinner. Attire for the dinner is business casual. 2 We look forward to seeing you in Washington. Kathleen C. Joaquin Director - Transfer Agency & International Operations Liberty Funds Services, Inc. Director - Transfer Agency Chair & International Operations Transfer Agent Advisory Committee Attachment Attachment no. 1 (in .pdf format)

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