

MEMO# 11486

December 22, 1999

IMPORTANT YEAR 2000 INFORMATION: - SEC DIVISION OF INVESTMENT MANAGEMENT Y2K HOURS & STAFFING - ICI Y2K MEMBER COMMUNICATION CENTER OPERATIONS

[11486] December 22, 1999 TO: BANK AND TRUST ADVISORY COMMITTEE No. 33-99
BROKER/DEALER ADVISORY COMMITTEE No. 37-99 OPERATIONS COMMITTEE No. 48-99
PRIMARY CONTACTS - MEMBER COMPLEX No. 111-99 SEC RULES COMMITTEE No. 108-99
SMALL FUNDS MEMBERS No. 20-99 TRANSFER AGENT ADVISORY COMMITTEE No. 80-99
TECHNOLOGY TASK FORCE RE: IMPORTANT YEAR 2000 INFORMATION: -SEC DIVISION OF
INVESTMENT MANAGEMENT Y2K HOURS & STAFFING -ICI Y2K MEMBER COMMUNICATION
CENTER OPERATIONS

SEC Division
of Investment Management - Year 2000 Hours & Staffing Schedule: The Securities &
Exchange Commission's Division of Investment Management requested that the Institute
forward the following information to members regarding their hours of operations and
staffing schedule during the Year 2000 transition. From Friday, December 31, through
Sunday, January 2, the Division of Investment Management will have senior staff on- duty
each day from 8:00 AM to 8:00 PM. The following telephone lines will be monitored by
Division staff during those times: (202) 942-0525/0630/0663/0666/0716/0720. Division staff
also will monitor the following fax numbers: (202) 942-9659 and (202) 628-9002, and the
following e-mail address: IMOCC@SEC.GOV. There also will be a limited number of Division
staff, and other Commission staff, working in the Commission's Y2K Data Collection Center
(the "Center") during those times and at other times. The Center's anticipated hours of
operation (EST) are as follows: December 28, 29 and 30 -- 9:00 AM to 5:30 PM December 31
-- 6:00 AM to 2:00 PM 9:00 PM to 2:00 AM January 1 -- 8:00 AM to 4:00 PM January 2 -- 8:00
AM to 4:00 PM, then 8:00 PM to 12:00 Midnight January 3, 4 and 5 -- 24 hours January 6 --
12:00 Midnight to 9:00 PM January 7 -- 6:00 AM to 10:00 PM During these times, if you
would like to report information to the Center, or if you have a question for the Division's
staff "after-hours," please call (202) 942-7254. That is the Center's dedicated telephone line
for the mutual fund industry. If for some reason that line is not available, please try (202)
942-7266, which will connect you to other telephones in the Center. The Center's fax
number is (202) 942-9632, and its e-mail address is DCC@SEC.GOV. Please note that the
Division is adopting a "business-as-usual" approach for all other days. The Division will be
fully staffed through December 30th and beginning on January 3rd, and you may call
whomever in the Division you believe is in the best person to consider your question or

problem. If an issue or problem arises after business hours and you are unable to reach anyone in the Division, please call the Data Collection Center at (202) 942-7254. ICI Year 2000 Member Communication Center Operations As previously reported, the Institute will operate an industry Communication Center to assist mutual fund members with any significant issues during the Year 2000 transition. The Investment Company Institute Communication Center (ICICC) will be available to members beginning Wednesday, December 29th through Friday, January 7th. Hours of operations (EST) for the ICICC currently scheduled are as follows: December 29 and 30 -- 8:00 AM to 6:00 PM December 31 -- 8:00 AM to 8:00 PM January 1 -- 8:00 AM to 6:00 PM January 2 -- 9:00 AM to 8:00 PM January 3, 4 and 5 -- 8:00 AM to 8:00 PM January 6 and 7 -- 8:00 AM to 6:00 PM The ICICC's main number is 202-842-0404 and facsimile number is 202-842-9135. These phone numbers are currently operational; however, we encourage members to use these numbers in the event they cannot reach staff, including those assigned to the center, on their direct lines. A listing of key staff from the Institute's Legal, Operations and Public information departments (including direct dial phone numbers) who have been assigned shifts in the Center is also attached for your convenience. If you have any questions regarding the above, please contact Kathy Joaquin (phone: 202-326- 5930 or email: kjoaquin@ici.org), Barry Simmons (phone: 202-326-5923 or email: simmonbe@ici.org) or the undersigned (phone: 202-326-5845 or email: boteler@ici.org). Donald J. Boteler Vice President Operations & Training Attachment

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