

MEMO# 2104

August 10, 1990

NASAA QUESTIONNAIRE ON DISCLOSURE

August 10, 1990 TO: INVESTMENT ADVISERS COMMITTEE NO. 25-90 RE: NASAA
QUESTIONNAIRE ON DISCLOSURE

Attached is a questionnaire prepared by the NASAA Financial Planner/Investment Adviser Committee which we received today. The questionnaire concerns the adoption by NASAA of a rule modeled on Advisers Act Rule 206(4)-4 dealing with disclosure requirements and the applicability of the rule to investment adviser representatives. The results of the questionnaire will be discussed at the NASAA committee meeting on August 27, 1990. Please complete the enclosed survey and provide any comments you may have regarding this matter to me by August 15, 1990 so that we can express the industry's views to the NASAA committee. My direct dial is 202/955-3516 and FAX number is 202/659-1519. We will keep you informed of further developments. W. Richard Mason Assistant General Counsel Attachment

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