

MEMO# 5235

October 14, 1993

NOTICE OF MEETING, NOVEMBER 16, 1993

October 14, 1993 TO: COMPLIANCE COMMITTEE NO. 25-93 RE: NOTICE OF MEETING,
NOVEMBER 16, 1993 _____ A meeting
of the Compliance Committee has been scheduled for 10:00 a.m. on November 16, 1993.
The meeting will be held in the Institute's David Silver conference room. Lunch will be
served following the meeting. We will discuss the following items at the meeting: (1) SEC
action involving a fund pricing error, (2) ICI drafting guides for codes of ethics and to
prevent insider trading, (3) recommendations for improving the SEC's investment company
inspection program, (4) supervisory responsibilities, (5) training programs for new
employees, (6) portfolio compliance issues, and (7) SEC comments on the need for greater
internal compliance controls. Please let me know if there are any other items that you
would like us to include on the agenda. Please indicate in the space provided below
whether you, or an alternate, plan to attend the meeting and return this form to the
Institute. Ellen Metzger Chairperson

_____ Please respond and fax
this notice to Cindy Deuell at 202/ 659-1519 by November 10, 1993. YES NO ____
COMPLIANCE COMMITTEE MEETING ____ LUNCHEON PLEASE PRINT NAME

_____ COMPANY

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