

**MEMO# 2439**

January 4, 1991

## **MAINE REVISES RENEWAL PROCEDURE**

January 4, 1991 TO: STATE SECURITIES MEMBERS NO. 1-91 RE: MAINE REVISES RENEWAL PROCEDURE \_\_\_\_\_ The Institute has recently been advised that the Maine Securities Division has revised its renewal procedure for investment company registration statements. As of March 1, 1991, the following documents must be submitted to the Maine Securities Division thirty days prior to the expiration of the current registration: 1. A new page 1 of Form U-1; 2. A copy of the most recent federal registration statement or a copy of the most recent prospectus and statement of additional information; and 3. A check in the amount of \$300 for each fund, portfolio or class of shares. A fund may request to have its renewal take effect in Maine on a date which is earlier than the anniversary date of its initial registration (i.e., to coincide with the fund's fiscal year end). This request should be made in the cover letter accompanying the renewal application. Attached is a copy of the letter from the Maine Securities Division outlining the foregoing procedure. \* \* \* We will keep you advised of developments. Patricia Louie Assistant General Counsel Attachment

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