

**MEMO# 1685**

January 29, 1990

## **FOREIGN PORTFOLIO INVESTMENT SURVEY; REPORTING REQUIREMENTS**

January 29, 1990 TO: SEC RULES MEMBERS NO. 8-90 CLOSED-END FUND MEMBERS NO. 5-90 UNIT INVESTMENT TRUST MEMBERS NO. 9-90 OPERATIONS MEMBERS NO. 4-90 RE: FOREIGN PORTFOLIO INVESTMENT SURVEY; REPORTING REQUIREMENTS

\_\_\_\_\_ The Treasury Department is conducting a survey of foreign portfolio investment in the United States. The study will be used to determine the magnitude and aggregate value of foreign portfolio investment, form of investments, types of investors, nationality and residence of investors, diversification of holdings by economic sector and holders of record. Reports are due by all persons who are required to file by June 30, 1990. All investment companies (regardless of whether there is evidence of foreign investment) which had total consolidated assets of more than \$1 billion are required to report. In addition, certain smaller issuers that have been contacted by Treasury and have total consolidated assets of at least \$10 million must also report. If your firm falls within the classification of issuers that are required to report and you have not received the necessary forms for doing so, you should contact the Department of the Treasury at the number indicated on the attached release to obtain a copy of the forms and instructions. Failure to file the report could result in enforcement proceedings against your firm. Amy B. Rosenblum Assistant General Counsel Attachment

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