

MEMO# 4764

May 7, 1993

NOTICE OF MEETING, JUNE 3, 1993

May 7, 1993 TO: COMPLIANCE COMMITTEE NO. 8-93 RE: NOTICE OF MEETING, JUNE 3, 1993

A meeting of the Compliance Committee has been scheduled for 10:00 a.m. on June 3, 1993. The meeting will be held in the Institute's David Silver conference room. Lunch will be served after the meeting. We will discuss the following topics at the meeting: (1) registration of telephone personnel, (2) documentation required under rule 2a-7, (3) problems with SEC inspections, (4) electronic monitoring legislation, (5) ICI Mutual compliance requirements, and (6) Form U-5 filings. 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 Laura Pawlowski at (202) 659-1519 by May 26, 1993. YES NO COMPLIANCE COMMITTEE MEETING LUNCHEON PLEASE PRINT NAME COMPANY

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