

**MEMO# 6458**

December 13, 1994

## **MARK YOUR CALENDAR - 1995 WORKSHOPS**

December 13, 1994 TO: COMPLIANCE COMMITTEE No. 24-94 INVESTMENT ADVISER  
MEMBERS No. 58-94 SEC RULES MEMBERS No. 89-94 STATE SECURITIES MEMBERS No.  
51-94 RE: MARK YOUR CALENDAR - 1995 WORKSHOPS

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The Institute has scheduled Portfolio Compliance and Blue Sky Compliance workshops for the spring of 1995, as follows: Portfolio Compliance Thursday, March 9 Boston Wednesday, April 5 New York Tuesday, May 23 San Francisco Blue Sky Compliance Friday, March 10 Boston Tuesday, April 4 New York Thursday, April 27 San Francisco The Portfolio Compliance Workshops will cover all aspects of portfolio compliance, including practical guidance on how to implement and maintain an effective compliance system, as well as applicable requirements under the Investment Company Act, the Internal Revenue Code, other federal laws and selected state statutes. Appearing on the panel will be Maria Dwyer, Vice President and Director of Compliance of Massachusetts Financial Services; Mark Goldfus, Vice President of Merrill Lynch Asset Management; Katharine Heidlage, Vice President and General Counsel of the New England Funds; and Karen Kay, Vice President and Senior Attorney of Putnam Investment Management. Frances Stadler, Associate Counsel of the Institute, will be the panel moderator. The Blue Sky Compliance Workshops will offer practical guidance with regard to the registration of mutual fund securities in the 50 states as well as compliance with state post-effective requirements. This panel will be moderated by Tamara Cain, Assistant Counsel of the Institute and includes Teri Anderholm, Compliance Officer of the Fidelity Service Company; Richard Barna, Assistant Vice President of T. Rowe Price Associates; Steve Hartstein, Legal Products Analyst of Goldman Sachs; and Brenda Mitchell, Blue Sky Representative of BISYS. Attendance at the workshops will be limited to Institute members and associate members until further notice. We will send additional details and registration forms in January. In the meantime, MARK YOUR CALENDAR! Susan S. Burgess Legal Assistant