

MEMO# 10450

November 3, 1998

CONTACT LISTS FOR PROVIDING 1998 YEAR-END TAX INFORMATION TO BROKERS AND BANKS

1 See Institute Memorandum to Tax Members No. 30-98, Accounting/Treasurers Members No. 24-98, Operations Members No. 24-98, Broker/Dealer Advisory Committee No. 14-98 and Transfer Agent Advisory Committee No. 59-98, dated September 22, 1998. 2 The SIA and ABA Contact Lists are available to Institute members on the Institute's members-only internet home page (ICINet) that is located at <http://members.ici.org>. Those Institute members with internet access who have not been issued an ICINet password may receive one by accessing the ICINet page and completing the ICINet enrollment form. [10450] November 3, 1998 TO: ACCOUNTING/TREASURERS MEMBERS No. 35-98 BROKER/DEALER ADVISORY COMMITTEE No. 16-98 OPERATIONS MEMBERS No. 30-98 TAX MEMBERS No. 39-98 TRANSFER AGENT ADVISORY COMMITTEE No. 74-98 RE: CONTACT LISTS FOR PROVIDING 1998 YEAR-END TAX INFORMATION TO BROKERS AND BANKS

The Institute has been working closely this year with the Securities Industry Association ("SIA"), the American Bankers Association ("ABA") and the National Association of Real Estate Investment Trusts ("NAREIT") to improve the uniform tax reporting procedures pursuant to which regulated investment companies ("RICs") and real estate investment trusts ("REITs") will report "reclassified" year-end tax information. In an earlier memorandum, the Institute distributed the uniform file formats to be used by RICs when reporting 1998 year-end tax information to brokers and banks.¹ Attached to this memorandum are (1) an updated list containing the names and contact information of persons at various broker/dealers and other third party intermediaries to whom RICs should send 1998 year-end tax information ("SIA Contact List") and (2) an updated list containing the names and contact information of persons at various banks to whom RICs should send 1998 year-end tax information ("ABA Contact List").² ACTION REQUESTED: To facilitate 1998 year-end tax reporting, the SIA and ABA have designated November 16 through November 20 as a testing period during which RICs may electronically send "dummy" year-end tax reporting files to any of the persons listed on the attached SIA and ABA Contact Lists with email addresses. Participation by RICs in the testing period is entirely voluntary. Questions regarding year-end tax reporting may be directed to the undersigned at 202.371.5436. Specific questions regarding the attached SIA and ABA Contact Lists or the uniform file layouts for use by RICs in reporting year-end tax information to brokers and banks may be directed to Justine Phoenix of the Institute's Operations Department at 202.326.5850. Deanna J. Flores Assistant Counsel Attachment Note: Not all recipients of this memo will receive an attachment. If you wish to obtain a copy of the attachment referred to in this memo, please call the Institute's Library Services Division at (202)326- 8304, and ask for this memo's attachment number: 10450.

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