

MEMO# 2084

August 2, 1990

AGENDA QUESTIONNAIRE

August 2, 1990 TO: INSURANCE COMPANY-DTC-FUND/SERV ADVISORY COMMITTEE NO. 7-90
RE: AGENDA QUESTIONNAIRE _____ At

our last meeting, the Committee decided that a questionnaire would be sent to members to solicit ideas on the issues the Committee would like to address in subsequent meetings.

Under the general categories, below are a few that have come up in the past. If you have an interest in these topics, please check the box to the right. If a topic of interest to you is not listed, please list it under Other. If you have any other suggestions or comments about how the Committee is run or its structure, please submit them also. OPERATIONS

FUND/SERV - DTC ☐ NSCC FUND/SERV ☐ NSCC FUND/SERV Money Market Trades ☐

Split Commission ☐ Maintenance and Mailing for Branch Offices ☐ Registered

Representative Maintenance ☐ IRA Trades over the Wire ☐ Wire Order Cancellations -

Gain/Loss Ownership ☐ CDSC Waivers (Cancellations, Renegs) ☐ DATA PROCESSING

Commission Tapes ☐ Direct Access to Fund Files ☐ Copy of Funds Master File on Tape

☐ -2- REGULATORY Signature Guarantees ☐ Alternatives to Certificate of Incumbency

☐ Standardization of Requirements ☐ TIN Certification ☐ Indemnification Agreement

☐ Legal Manual ☐ YEAR-END Copies of Shareholder Confirmations/ Year-end Histories

☐ Tax Information ☐ COMMUNICATIONS Standardized Applications ☐ Newsletters ☐

Copies of Correspondence to Broker/Dealer ☐ Telephone Systems - 24-hour Service ☐

OTHER _____

Please send this completed questionnaire by August 20, 1990 by fax (202/293-1058) or mail to: Donald E. O'Connor
Investment Company Institute 1600 M Street, NW - 6th Floor Washington, D.C. 20036 Bruce
C. Avery Chairman

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