

MEMO# 12424

August 1, 2000

INSTITUTE OFFERS INVESTMENT COMPANY DIRECTOR'S GUIDE TO CODES OF ETHICS

[12424] August 1, 2000 TO: INVESTMENT COMPANY DIRECTORS No. 13-00 PRIMARY CONTACTS - MEMBER COMPLEX No. 52-00 SEC RULES COMMITTEE No. 103-00 RE: INSTITUTE OFFERS INVESTMENT COMPANY DIRECTOR'S GUIDE TO CODES OF ETHICS The Institute recently issued a new guide for investment company directors, An Investment Company Director's Guide to Oversight of Codes of Ethics and Personal Investing. The Guide focuses on directors' duties with respect to codes of ethics and their oversight of the personal investing activities of investment company personnel. It summarizes applicable statutory and regulatory requirements and describes the recommendations of an industry Advisory Group as to a number of additional provisions for codes of ethics that go beyond regulatory requirements. A copy of the Guide is enclosed. Additional copies can be obtained by contacting Sally Coleman at 202/326-5872. Marguerite C. Bateman Associate Counsel
Enclosure

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