



Asset Management Issuances

Last update: September 2010

Asset Management - Handbooks

- Retirement Plan Services [Handbook](#)
- Collective Investment Funds [Handbook](#)
- Asset Management [Handbook](#)
- Conflicts of Interest [Handbook](#)
- Custody Services [Handbook](#)
- Investment Management Services [Handbook](#)
- Personal Fiduciary Services [Handbook](#)

Other - Handbooks

- Retail Nondeposit Investment Sales [Handbook](#)
- Insurance Activities [Handbook](#)
- Community Bank Supervision [Handbook](#)
- Bank Supervision Process [Handbook](#)

Asset Management - Laws & Regulations

- Trust Powers, [12 USC 92a](#)
- Fiduciary Activities, [12 CFR 9](#)
- Preamble and Final Rule [12 CFR 9](#)
- Record Keeping & Confirmation Requirements, [12 CFR 12](#)
- Transfer Agent Activities, [17 CFR 240](#)
- ERISA, Sections [401-409](#)

Asset Management - OCC Bulletins

- OCC 2010-37, Self-Deposit of Fiduciary Funds [Bulletin](#)
- OCC 2009-19, New Notice Requirements for Sweep Accounts [Bulletin](#)
- OCC 2008-10, Annual Reviews of Fiduciary Accounts Pursuant to 12 CFR 9.6(c) [Bulletin](#)
- OCC 2008-5, Conflicts of Interest: Risk Management Guidance-Divestiture of Certain Asset Management Businesses [Bulletin](#)
- OCC 2007-42, Bank Securities Activities: SEC's and Federal Reserve's Final Regulation R [Bulletin](#)
- OCC 2007-21, Supervision of National Trust Banks: Revised Guidance: Capital and Liquidity [Bulletin](#)
- OCC 2007-7, Soft Dollar Guidance: Use of Commission Payments by Fiduciaries [Bulletin](#)
- OCC 2007-6, Registered Transfer Agents: Transfer Agent Registration, Annual Reporting, and Withdrawal from Registration [Bulletin](#)
- OCC 2006-24, Interagency Agreement on ERISA Referrals [Bulletin](#)
- OCC 2004-2, Banks/Thriffs Providing Financial Support to Funds Advised by the Banking Organization or its Affiliates [Bulletin](#)
- OCC 2002-39, Investment Portfolio Credit Risks: Safekeeping Arrangements [Bulletin](#)
- OCC 2001-33, Fiduciary Activities of National Banks: Final Rule [Bulletin](#)



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Asset Management - OCC Bulletins (cont.)

- OCC 97-22, Fiduciary Activities of National Banks -- Q & As 12 CFR 9 [Bulletin Attachment](#)
- OCC 96-25, Fiduciary Risk Management of Derivatives & Mortgage-backed Securities [Bulletin](#)
- OCC 95-52, Retail Sales of Non-deposit Investments -- Interagency Statement [Bulletin](#)
- OCC 94-13, Non-deposit Investment Sales Examination Procedures [Bulletin](#)

Asset Management - Banking Circulars

- BC-277, Risk Management of Financial Derivatives [Circular](#)
- BC-275, Free Riding in Custody Accounts [Circular](#)
- BC-247, Application of Securities Laws to Common Trust Funds [Circular](#)
- BC-235, International Payment Systems Risk [Circular](#)
- BC-233, Acceptance Of Financial Benefits By Bank Trust Departments [Circular](#)
- BC-218, Sweep Fees [Circular](#)
- BC-196, Securities Lending FFIEC Statement [Circular](#)

Asset Management – Trust Banking Circulars

- TBC-19, Fiduciary Purchases of Bonds Circular when Bank Participates in Underwriting Syndicates [Circular](#)

Asset Management – Interpretive Letters

- IL 1126, Purchase of Auction Rate Securities [Letter](#)
- IL 1121, CIF Distribution Delay due to Illiquid Assets [Letter](#)
- IL 1120, Index & Model-driven CIF – Fees [Letter](#)
- IL 1119, Index & Model-drive CIF – Benchmarks [Letter](#)
- IL 1115, Purchase of Auction Rate Securities [Letter](#)
- IL 1111, Waiver from 12 CFR 12 Confirmation Requirement [Letter](#)
- IL 1106, Fiduciary Activities in the states of Georgia, South Carolina and Florida [Letter](#)
- IL 1103, Fiduciary Activities in the state of North Carolina [Letter](#)
- IL 1080, Fiduciary Powers in state of Missouri [Letter](#)
- IL 1078, Custody Trust Ledger Deposit Account Program [Letter](#)
- IL 1066, Risk based capital treatment for certain securities lending transactions [Letter](#)
- IL 1062, Reporting of Personal Transactions in Securities [Letter](#)
- IL 1047, Authority of a National Bank Trust Company to Sponsor a Closed-end Fund and Investment in Fund Shares under 12 CFR 1.3(h)(2) [Letter](#)



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Asset Management – Interpretive Letters (cont.)

- IL 1037, Authority to Hedge Investment Advisory Fees [Letter](#)
- IL 1031, Creation of a trust to hold investments [Letter](#)
- IL 1029, Waiver of certain Provisions of 12 CFR 12 [Letter](#)
- IL 1026, Securities Conduit Lending Services [Letter](#)
- IL 1017, Interest on NOW Accounts [Letter](#)
- IL 1016, Indenture Trustee Pre-emption Issue [Letter](#)
- IL 1011, Waiver of Beneficial Owner Reporting under 12 CFR 12 [Letter](#)
- IL 995, Multi-state Fiduciary Activities [Letter](#)
- IL 973, Federal trust powers of a national bank [Letter](#)
- IL 971, OCC supervision of operating subsidiaries [Letter](#)
- IL 969, Pooling of fiduciary accounts and self-deposit them in collective fund [Letter](#)
- IL 967, Insurance Subsidiaries & Risk Management Services [Letter](#)
- IL 920, Annual admissions and withdrawals are permitted under 12 C.F.R. § 9.18 [Letter](#)
- IL 919, Cross-Trade Exemption From DOL on Model-Driven funds [Letter](#)
- IL 884, Non Discretionary Custodian for Collective Investment Funds [Letter](#)

- IL 841, Common Trust Funds – Method of Distribution [Letter](#)
- IL 734, IRAs in Registered Common Trust Funds [Letter Part II](#)

Asset Management – Other References

- Form TA-1 Transfer Agent Registration and Amendment [Form](#)