Asset Management Issuances

Asset Management - Handbooks
- Asset Management Handbook
- AM Operations and Controls Handbook
- Collective Investment Funds Handbook
- Conflicts of Interest Handbook
- Custody Services Handbook
- Investment Management Services Handbook
- Personal Fiduciary Services Handbook
- Retirement Plan Products and Services Handbook
- Unique and Hard-to-Value Assets Handbook

Other - Handbooks
- Retail Nondeposit Investment Sales Handbook
- Insurance Activities Handbook
- Community Bank Supervision Handbook
- Large Bank Supervision Handbook
- Bank Supervision Process Handbook

Asset Management - Laws & Regulations
- Trust Powers, 12 USC 92a
- Fiduciary Activities of National Banks, 12 CFR 9
- Fiduciary Powers of Federal Savings Associations, 12 CFR 150
- Recordkeeping & Confirmation Requirements (NBs), 12 CFR 12
- Recordkeeping & Confirmation Requirements (FSA), 12 CFR 151
- Transfer Agent Activities, 17 CFR 240
- ERISA, Sections 401-409

Asset Management - OCC Bulletins
- OCC 2013-36, Registration of Municipal Advisors Bulletin
- OCC 2013-8, Short-Term Investment Funds Reporting Requirements Bulletin
- OCC 2012-31, Short-Term Investment Funds Bulletin
- OCC 2011-11, Risk Management Elements: Collective Investment Funds and Outsourced Arrangements Bulletin
- 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
Asset Management Issuances

Asset Management - OCC Bulletins (continued)

- 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/Thrifts Providing Financial Support to Funds Advised by the Banking Organization or its Affiliates [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]
Asset Management Issuances

Asset Management – Interpretive Letters

- IL 1115, Purchase of Auction Rate Securities Letter

Asset Management – Interpretive Letters (continued)

- 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
- 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