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Arthur Levitt papers 4079912

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Summary Information

Repository:	Rare Book and Manuscript Library
Creator:	Levitt, Arthur, 1931-
Title:	Arthur Levitt papers
ID:	4079912
ID:	MS#0774
Date [inclusive]:	1948-2007
Physical Description:	30 linear feet 62 boxes 1 oversize box
Language of the Material:	English .

Preferred Citation

Identification of specific item; Date (if known); Arthur Levitt papers; Box and Folder; Rare Book and Manuscript Library, Columbia University Library.

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Biographical / Historical

Levitt, the 25th Chairman of the U.S. Securities and Exchange Commission, was first appointed by President Clinton in July of 1993 and reappointed to a second five-year term in May of 1998. The longest serving Chairman in the history of the Commission, Arthur Levitt retired from the SEC on Feb. 9th 2001.

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Biographical / Historical

The SEC is an independent, nonpartisan, quasijudicial regulatory agency with responsibility for administering the federal securities laws. The purpose of these laws is to protect investors in

securities markets that operate fairly and to ensure that investors have access to disclosure of all material information concerning publicly traded securities. The Commission also regulates firms engaged in the purchase or sale of securities, people who provide investment advice, and investment companies. Five Commissioners sit on the SEC with one designated as chairman by the President of the United States.

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Biographical / Historical

Key successes of Levitt's first term include reforming the debt markets, improving broker sales and pay practices, promoting the use of plain English in investment literature as well as in SEC communications with the public, preserving the independence of the private sector standard setting process, ensuring the independence of accountants, and encouraging foreign companies to list on U.S. markets.

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Biographical / Historical

During Chairman Levitt's tenure, the SEC established the Office of Investor Education and Assistance and created the SEC's World Wide Web site, one of the most popular on the internet, which allows the SEC to make all corporate filings available to the public free of charge. Chairman Levitt has been supportive of high-tech and online securities trading. He supported passage of both the Securities Litigation Uniform Standards Act in 1998 and the Private Securities Litigation Reform Act in the 104th Congress. These bills are designed to reduce the number of frivolous class action lawsuits brought primarily against high tech companies in the computer, internet, and biotech industries.

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Biographical / Historical

Chairman Levitt has also sought to raise the industry's sales practice standards and eliminate the conflicts of interest in how brokers are compensated. During his tenure at the SEC, Levitt worked to protect the interests of the individual investor, which manifested itself most clearly in the passage of Regulation FD. Regulation FD, which went into effect in October 2000, mandates that public companies must broadly disseminate material non-public

information simultaneously to all investors. In the wake of Regulation FD, webcasting of company conference calls and other investment events has emerged as one of the most efficient and effective ways companies can help immunize themselves against potential selective disclosure issues.

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Biographical / Historical

The SEC has worked to sever ties between political campaign contributions and municipal underwriting business, a practice known as pay-to-play, as well as improving the disclosure and transparency of the municipal bond market. Chairman Levitt tried to introduce rules barring CPA firms from providing consulting services to their audit clients, believing that consulting fees offer an unhealthy temptation to professional services firms that conduct certified audits. Levitt's initiatives were met with a determined lobbying effort by the accounting industry. Eventually Levitt was forced to water down his proposals and he accepted a requirement that made companies disclose the dollar amount of the audit and consulting fees that they pay.

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Biographical / Historical

The Commission, together with the industry, has developed the Profile Prospectus and other plain English guidelines for investment products in an effort to make disclosure documents easier to understand without compromising the value of the information provided to investors.

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Biographical / Historical

Before joining the Commission, Mr Levitt owned Roll Call, a newspaper that covers Capitol Hill. From 1989 to 1993, he served as the Chairman of the New York City Economic Development Corporation. And from 1978 to 1989, he was the Chairman of the American Stock Exchange. Prior to joining the American Stock Exchange, Mr Levitt worked on Wall Street for 16 years, serving as a president for Carter Berlind & Weill and Shearson Hayden

Stone, Inc. He graduated Phi Beta Kappa from Williams College in 1952 before serving for two years in the Air Force.

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Summary

Correspondence, speeches, speech materials, news clippings, subject files, audio and videotapes relating to the professional activity of Arthur Levitt, Jr. The papers and audiovisual material deal primarily with his tenure as the Chairman of the Securities and Exchange Commission (1993-2001), but also contain earlier records, including some materials relating to Levitt's school years at the Polytechnic Preparatory Country Day School and at Williams College, and his work at Hayden Stone, the American Stock Exchange, and the New York Economic Development Corporation, and his advocacy of the National Endowment of the Arts during the 1991-1992 funding controversy. These papers also contain materials relating to his father, Arthur Levitt, Sr., who served for 24 years as New York State Comptroller.

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Arrangement

This collection is arranged into 13 series.

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Administrative Information

Publication Statement

Rare Book and Manuscript Library

Butler Library, 6th Floor
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535 W. 114th St.
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Revision Description

Legacy finding aid created from Pro Cite. EAD was imported spring 2019 as part of the ArchivesSpace Phase II migration. 2010-02-16 2019-05-20

Restrictions on Access

This collection is located off-site. You will need to request this material at least three business days in advance to use the collection in the Rare Book and Manuscript Library reading room.

Restrictions on Access

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Immediate Source of Acquisition

Papers: Source of acquisition--U.S. Securities & Exchange Commission. Method of acquisition--Gift; Date of acquisition--02/26/2001. Accession number--M-01-02-26.

Immediate Source of Acquisition

Gift of Hilda Harding of the Securities and Exchange Commission, 2001. Accessioned by Patrick Lawlor on Feb. 26, 2001. Addition donated by Arthur Levitt Jr., accessioned by Patrick Lawlor on Aug. 29, 2002 (accession no. 2002/2003-05)

Processing Information

Papers Processed JG/HR 07/12/2002. First installment (22 linear feet in 34 boxes) was processed by Jane Gorjevsky, Summer 2002. The additions were processed and integrated into the collection by Jane Gorjevsky, Spring 2003.

Accruals

Materials may have been added to the collection since this finding aid was prepared. Contact rbml@columbia.edu for more information.

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Controlled Access Headings

- Securities industry -- Law and legislation
- Articles
- Audiotapes
- Certificates
- Memorandums
- Notes (documents)
- Photographs
- Reports
- Speeches (documents)
- Videotapes
- Civil service
- Stockbrokers
- Levitt, Arthur, 1900-1980
- United States. Securities and Exchange Commission
- American Stock Exchange
- Hayden, Stone & Co.
- National Endowment for the Arts
- New York City Economic Development Corporation
- Polytechnic Preparatory Country Day School
- Williams College

Collection Inventory

Series I: Cataloged Correspondence

Scope and Contents

Original letters to Levitt from US congressmen and US and foreign government members.

Title/Description	Instances	
Bowles, Erskine B. Chief of Staff to the US President to: Arthur Levitt, Jr., Washington, DC, Dec. 18, 1996; Nov. 21, 1997 <u>Physical Description:</u> 1p. t.l.s. with ms. note, 1p. a.c.s.	box 1	folder 1
Bush, George H. W. US President to: Arthur Levitt, Jr., Washington, DC; Houston, TX, Sep. 27, 1991; Dec. 14, 1998 <u>Physical Description:</u> 2 t.l.s.	box 1	folder 2
Carter, Jimmy US President to: Arthur Levitt, Jr., Washington, DC, Oct. 13, 1978	box 1	folder 2A

Physical Description: 1p. t.l.s.

Clinton, Bill US President to: Arthur Levitt, Jr., Washington, DC, Feb. 1998 - Jan. 2001	box 1	folder 3
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Physical Description: 3 t.l.s.

Coelho, Tony to: Arthur Levitt, Jr., n.p., Feb. 23, 1995	box 1	folder 4
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Physical Description: 1p. a.c.s.

Cohen, William US Secretary of Defense to: Arthur Levitt, Jr., Washington, DC, Jul. 14, 1998	box 1	folder 5
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Physical Description: 1p. t.l.s.

Collins, Susan M. US Senate (R - ME) to: Arthur Levitt, Jr., Washington, DC, Jan. 22, 2001	box 1	folder 6
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Physical Description: 1p. a.c.s.

Cox, Christopher US House of Representatives (R - CA) to: Arthur Levitt, Jr., Washington, DC, Apr. 10, 1996	box 1	folder 7
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Physical Description: 1p. t.l.s.

D'Amato, Alphonse US Senate (R - NY) to: Arthur Levitt, Jr. - Subpoena for Whitewater Investigation, Washington, DC, Oct. 26, 1995	box 1	folder 8
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Physical Description: 3p. t.l.s. (faximile)

Scope and Contents

[Subpoena attachment is also signed by Sarbanes, Paul]

Daschle, Thomas. U. S. Senate (D - SD) to: Arthur Levitt, Jr., Washington, DC, Mar. 6, 1999	box 1	folder 9
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Physical Description: 1p. a.c.s.

Scope and Contents

[Photocopy of Levitt's reply enclosed]

Dingell, John D. US House of Representatives (D - MI) to: Arthur Levitt, Jr., Washington, DC, n.d. - Dec. 7, 2000	box 1	folder 10
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Physical Description: 4 a.c.s.

Scope and Contents

[News Clippings enclosed]

Dinkins, David N. Mayor, New York City to: Arthur Levitt, Jr., New York, NY, Dec. 16, 1993	box 1	folder 11
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Physical Description: 1p. t.l.s.

Dodd, Christopher J. US Senate (D - CT) to: Arthur Levitt, Jr., Washington, DC, Sep. 8, 1993; Mar. 24, 1999	box 1	folder 12
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Physical Description: 2 a.l.s.

Donaldson, William H. New York Stock Exchange, Chairman to: Arthur Levitt, Jr., New York, NY, May 26, 1995	box 1	folder 13
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Physical Description: 1p. a.l.s.

Scope and Contents

[US SEC Chairman since Jan. 2003]

Domenici, Pete V. US Senate (R - NM) to: Arthur Levitt, Jr., Washington, DC, Nov. 28, 1995	box 1	folder 14
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Physical Description: 1p. t.l.s. with ms. note

Eshoo, Anna G. US House of Representatives (D - CA) to: Arthur Levitt, Jr., Washington, DC, Jul. 1996 - Oct. 1998	box 1	folder 15
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Physical Description: 2 a.l.s., 1p. t.l.s., 1 a.c.s.

Ewing, Thomas W. US House of Representatives (R - IL) to: Arthur Levitt, Jr., Pontiac, IL, Dec. 22, 2000	box 1	folder 16
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Physical Description: 1p. t.l.s.

Faircloth, Lauch US Senate (R - NC) to: Arthur Levitt, Jr., Washington, DC, Mar. 15, 1994; Jan. 19, 1995	box 1	folder 17
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Physical Description: 2 t.l.s.

Fields, Jack US House of Representatives (R - TX) to: Arthur Levitt, Jr., Washington, DC, Jan. 12, 1995	box 1	folder 18
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Physical Description: 1p. t.l.s.

Ford, Gerald R. US President to: Arthur Levitt, Jr., n.p., Aug. 25, [n.y.]	box 1	folder 19
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Physical Description: 1p. a.l.s.

Ginsburg, Ruth Bader Supreme Court of the US to: Arthur Levitt, Jr., Washington, DC, Oct. 12, 1995	box 1	folder 20
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Physical Description: 1p. t.l.s.

Scope and Contents

[enclosed:letter from A. Levitt to: Payne, Hank,
President, Williams College, Williamstown, MA]

Levitt, Arthur Jr. US SEC to: Payne, Hank, President, Williams College, Williamstown, MA, Washington, DC, Oct. 17, 1995	box 1	folder 20
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Physical Description: 1p. t.l.s.

Scope and Contents

[re: Judge Ginsburg Letter of Oct. 12, 1995 - filed under Ginsburg]

Gore, Al US Vice President to: Arthur Levitt, Jr., Washington, DC, Jun. 23, 1997 <u>Physical Description:</u> 1p. t.l.s.	box 1	folder 21
Hatch, Orrin US Senate (R - UT) to: Arthur Levitt, Jr., Washington, DC, Sep. 11, 1995 <u>Physical Description:</u> 1p. t.l.s.	box 1	folder 22
Kennard, William E. Federal Communication Commission (FCC), President to: Arthur Levitt, Jr., Washington, DC, Oct. 29, 2000 <u>Physical Description:</u> 1p. a.c.s.	box 1	folder 23
Kerry, John F. US Senate (D - MA) to: Arthur Levitt, Jr., Staten Island, NY, Sep. 19, n.y. <u>Physical Description:</u> 2p a.l.s.	box 1	folder 24
Lackritz, Mark E. Securities Industry Association (SIA), president to: Arthur Levitt, Jr., n.p. [Washington, DC], Jan. 1995 - Nov. 1999 <u>Physical Description:</u> 3 a.c.s., 1p. t.l.s. (on cardboard backing), 1 t.d. (faximile)	box 1	folder 25
Scope and Contents		
[Typed letter also signed by Zuckenber, Roy J., SIA Chairman. Enclosed faximile of SIA board of Directors resolution commending Levitt.]		
Largent, Steve US House of Representatives (R - OK) to: Arthur Levitt, Jr., n.p., n.d. <u>Physical Description:</u> 1p. a.l.s.	box 1	folder 26
Morrow, Carol files on Arthur Levitt (correspondence and articles), 2002-2004	box 59	folder 1-3
Murray, Patty US Senate (D - WA) to: Arthur Levitt, Jr., Washington, DC, Mar. 29, 1995 <u>Physical Description:</u> 1p. t.l.s.	box 1	folder 27
Panetta, Leon White House Chief of Staff to: Arthur Levitt, Jr., Washington, DC, Oct. 28, 1994 <u>Physical Description:</u> 1p. t.l.s.	box 1	folder 28
Rainer, William J. US Commodity Futures Trading Commission to: Arthur Levitt, Jr., Washington, DC, Sep. 10, 1999	box 1	folder 29

Physical Description: 1p. a.l.s.

Richardson, William US Secretary of Energy to: Arthur Levitt, Jr., Washington, DC, Dec. 26, 2000	box 1	folder 30
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Physical Description: 1p. t.l.s.

Reich, Robert Biff, Secretary of Labor to: SEC Chairman (Skip Hayward), Washington, DC, Sep. 10, 1996	box 1	folder 31
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Physical Description: 1p. t.l.s., 1p. t.l.s.(copy)

Scope and Contents

[photocopy of Levitt's reply (Sep. 19, 1996) enclosed]

Riegle, Donald W., Jr. US Senate (D - MI) to: Arthur Levitt, Jr., Washington, DC, Jan. 21, 1994	box 1	folder 32
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Physical Description: 2p. a.l.s.

Sheng, Andrew Securities and Futures Commission, Chairman to: Arthur Levitt, Jr., Hong Kong, Sep. 20, 2000	box 1	folder 33
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Physical Description: 1p. t.l.s.

Stevens, Ted US Senate (R - AK) to: Arthur Levitt, Jr., Washington, DC; AK, Sep. - Dec. 2000	box 1	folder 34
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Physical Description: 1p. t.l.s. with ms. note, 1p. t.l. (dictated), 1p. 1, a.c.s.

Udall, Mark E. US House of Representatives (D - CO) to: Arthur Levitt, Jr., Washington, DC, Oct. 25, [2000]	box 1	folder 35
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Physical Description: 1p. a.l.s., 1p. clipping

Scope and Contents

[Enclosed photocopy of congressional remarks]

Levitt, Arthur Jr. Carter. Berlind & Weill, Inc. to: Wilson, Joseph C., Chairman of the Board, Xerox Corporation, New York, NY, Sep. 27, 1966	box 1	folder 36
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Physical Description: 2p. t. l.

Scope and Contents

[re: A. Levitt Sr. re-election campaign]

Wilson, Joseph C. Xerox Corporation to: Arthur Levitt, Jr., Rochester, NY, Oct. 5, 1966	box 1	folder 36
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Physical Description: 1p. t.l.s.

Scope and Contents

[re: A. Levitt Sr. re-election campaign]

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Series II: Arranged Correspondence

Subseries II.1: Originals

Scope and Contents

includes some emails and faximiles. Most correspondence from SEC Correspondence 1993 - 2001scrapbook. Anonymous correspondence filed first.

Title/Description	Instances	
Anderson, Joseph F.; Koppes, Richard - see Aronson, Tracey; [Athis], Paul; Bachman, John W.; Baird, Brent D.; Baker, William; Barr, Clifford; Barry, Grace; Blackmore, Robert L.; Blair, Warren E.; Brodsky, William J.; Brophy, Raymond C.; Brown, David A.; Callaway, Howard H.; Clarkson, James A.; Carey, Paul A.; Catell, Robert B.; Cogan, Marshall S.; Critchlow, Paul W.; Damson, Barry; Davidson, Joan; Degenhardt, Harold F.; Derderian, James E.; Dibble, Edward T.; Dilenschneider, Robert L; Dulski, Walter; Edelman, Stanley; Emmott, William; Evans, Carol; Evans, Thomas W.; Fields, Harvey J; Figueres, Muni; Forbes, Malcolm S. (Steve); Fink, Matthew P.; Friedland, Rhoda; Glassman, Mary; Goldin, Harrison J.; Goldsmith, Margie; [Greenbaum], Teddy; Groves, Ray J.; Guggenheim, Charles; Haskell, Janelle; Herman, James A.; [Jores], Michael; Komives, Michael; [Krongard, A. B.] Buzzy Automatic Data Processing - see Weston, Josh S.; Brooklyn Union - see Catell, Robert B; Center for Working Capital - see Tarbox, Monte; Chicago Mercantile Exchange - See Brodsky, William J; Consumer Federation of America - see Metzenbaum, Howard M; Coopers & Lybrand - see McKinney, James E.; Council for Institutional Investors - see Teslik, Sarah; The Economic Club of Chicago - see Barry, Grace; The George Washington University - see Trachtenberg, Stephen Joel; Investment Company Institute - see Fink, Matthew P. General: A - K	box 1	folder 37
La Ganga, Charles; Lord, Sandra; Linton, R. E.; Lorne, Simon M; Lufkin, Dan W.; McKane, David B.; McKinney, James E.; McLucas, William R.; Madoff, Bernard L; Madoff, Peter B.; Manley, John M.; Mathisen, Tyler; Metzenbaum, Howard M; Martin, David - see Aronson, Tracey; Minow, Newton N.; Morse, William E.; Nemser, Earl; Nowicki, Elizabeth; Olson, John F.; Payne, Harry C.; Petchesky, Harry J.; Pottruck, David S.; Quinn, Linda C.; Reed, William S.; Rogers, William; Rubinstein, Peter J.; Ruder, William; Scardino, Jennifer; Schadt, James P.; Schlosser, Alfred M.; Schwartz, Robert; Segal, Martin E.; Silverstone, Leslie J.; Smythe, Marianne K.; Sobel, Ronald B.; Sole, Kelly Ann; Sommer, A. A. Jr.; Stanton, Frank; Stone, J. Jacques; Spatz, Theodore; Summers, Laurence; Tarbox, Monte; Teslik, Sarah; Tolleris, Bea; Trachtenberg, Stephen Joel; Walker, Richard H.; Weisbrod, Carl; Wang, [Leo]; Weston, Josh S.; Wilpon, Fred; Woolf, Harry. Los Angeles Times - see Sole, Kelly Ann; Merrill Lynch & Co.	box 1	folder 38

- see Critchlow, Paul W.; Ontario Securities Commission - see Brown, David; Poly Prep School - see Petchesky, Harry J.; Salomon Brothers, Inc - see Lorne, Simon; Charles Schwab & Co - see Pottruck, David S.; VEBA; Wellesley College - see Reed, William S.; Williams College - see Payne, Harry C.; General: L - Z

Andreesen, Matthew; Augustine, Norman A.; Balamaci, Nick; Beard, Sam; Beresford, Dennis R.; Bialkin, Kenneth J.; Bloch, Robert W.; Blaskovich, Fred; Brennan, John J.; Brinkley, James W.; Buffett, Warren E.; Catto, Henry E.; Chin, Faye; Colson, Robert H.; Davies, Howard; Dilenschneider, Robert L.; Emerson, John B.; Fickling, William A., Jr.; Fleischer, Arthur; Goldmark, Peter C., Jr.; Gorman, D. J.; Hopkins, Karen B.; Hunter, David W.; Job, Peter; Kelley, Aloysius P.; Koski-Grafer, Susan; Kraft, Robert K.; Linowitz, Sol M.; Lowenstein, Lou; McDonough, William J.; McIntosh, Bill; McLendon, Heath B.; Malkin, Peter L.; Mikva, Abner J.; Muis, Jules W.; Nemser, Earl; Newman, Fred; Olson, John; Perlman, Jay; Reese, James R.; Ross, Alan; Ross, Richard S.; Schneiderman, Irwin; Schwab, Richard L.; Seligman, Joel; Senatore, Charles V.; Sollazzo, Bob; Steinbrenner, George M, III; Stern, Walter P.; Stevens, Rick; Sturner, William; Sowan, Richard J.; Stalcup, Steve; Till, John G.; Williams, Harold M.; Willmott, Peter S.; Zarr, Gary; Zelinka, Robert. Wall Street Journal Levitt's Resignation from SEC	box 1	folder 39
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Scope and Contents

[Original correspondence removed from scrapbook of the same name, replaced by photocopies.]

Carol Morrow files on Arthur Levitt (correspondence and articles), 2002-2004	box 59	folder 1-3
Correspondence, 2002-2004	box 59	folder 4

Subseries II.2: Congressional photocopies.

Scope and Contents

These materials were part of additions, donated by A. Levitt in 2002. Photocopies of SEC chairman correspondence with members of US Senate and US House of Representatives. First folder contains index for this subseries. Subject files, arranged alphabetically by policy topic. Also includes transcripts of congressional hearings and background materials.

Title/Description	Instances	
Complete Index, 1993 - 2001	box 1	folder 40
Bayh, Evan; Bennett, Robert F; Biggert, Judy; Bliley, Tom; Campbell, Tom; Chabot, Steve; Crane, Phillip; Crapo, Mike; Dingell, John D.; Dodd, Christopher J; Doyle, Mike; Enzi, Michael; Fowler, Tille K; Frank, Barney; Gejdenson, Sam; Grams, Rod; Isakson, Johnny; Johnson, Tim; Kanjorski, Paul E.; Latoure[...], Steven C.; Minge, David; Mink, Patsy T.; Obey, David; Oxley, Michael G.;	box 1	folder 41

Pitts, Joseph R; Ros-Lehtinen, Ileana; Sawyer, Thomas;
Shays, Christopher; Tauzin, Billy; Torricelli, Robert;
Townes, Edolphus; Voinovich, George V.; Wayne, Allard;
Auditors Independence + index, 2000

Baker, Richard H.; Bliley, Thomas J.; Gram, Phil; Greenwood, James C.; Kennedy, Edward M.; Kerry, John F.; Leach, James A.; Wyden, Ron. Banking Reform (Glass- Seagal Act; Gramm-Leach-Bliley bill), 1994 - 2000	box 1	folder 42
Bliley, Thomas J.; Burton, Dan; Dingell, John D.; Dreier, David; Fossella, Vito J.; Gramm, Phil; Livingston, Bob; Manton, Thomas; Markey, Edward J; Oxley, Michael G.; Schumer, Charles E.; Stevens, Ted; Thomas, William M; Thompson, Fred; Towns, Edolphus; Decimalization + index, 1997 - 2000	box 1A	folder 1
Bliley, Thomas J.; Dingell, John D.; Gore, Al; Gramm, Phil; Lasio, Rick; Markey, Edward J; Pressler, Larry; EDGAR - SEC Electronic Data Gathering Analysis and Retrieval System + index, 1993 - 1998	box 1A	folder 2
Burton, Dan Mutual Funds, Feb. 2000	box 1A	folder 3
Dingell, John D.; Markey, Edward J; Obey, David R.; Serrano, Jose E.; Towns, Edolphus; Pay Parity (H. R. 2441), Oct. 2000	box 1A	folder 4
D'Amato, Alphonse M; Dingell, John D.; Gramm, Phil; Markey, Edward J; Moseley-Braun, Carol; Wyden, Ron; Pay-to-Play in Municipal Bonds Market + Index, 1993 - 2000	box 1A	folder 5
Bliley, Thomas J.; Dingell, John D.; Fields, Jack; Greenwood, James; Hall, Ralph; Santorum, Rick; Saxton, Jim; Stevens, Ted; Payment for Order Flow/Order Handling Rules + index, 1995 - 2000	box 1A	folder 6
Burton, Dan; Cohen, William S.; D'Amato, Alphonse M; Dingell, John D.; Dodd, Christopher J; Dorgan, Byron L; Fields, Jack; Gillmor, Paul E.; Gore, Al; Markey, Edward J; Oxley, Michael G.; Riegle, Donald W.; Synar, Mike; Plain English, 1993 - 2000	box 1A	folder 7 - 8
Breeden, Richard C.; Cohen, William S.; Dingell, John D.; Division of Investment Management Plain English - correspondence of Richard C. Breeden, SEC Division of Investment Management	box 1B	folder 1
Eshoo, Anna G.; Frank, Barney Regulation FD / Selective Disclosure, Jul. - Dec. 2000	box 1B	folder 2
Bliley, Thomas J.; D'Amato, Alphonse M; Dingell, John D.; Fields, Jack; Schenk, Lynn; Wyden, Ron Securities Litigation Reform, 1994 - 1998	box 1B	folder 3
Abraham, Spencer; Armev, Dick; Baker, Richard; Bayh, Evan; Bennett, Robert; Bilbray, Brian; Blunt, Roy; Bliley, Thomas J.; Boren, David; Bunning, Jim; Burr, Richard; Cox, Christopher; Crapo, Mike; Crowley, Joseph;	box 1B	folder 4 - 5

Cubin, Barbara; Davis, Tom; Deal, Nathan; Deutsch, Peter; Dingell, John D.; Dooley, Cal; Dunn, Jennifer; Eshoo, Anna G.; Fossella, Vito J.; Fowler, Tillie; Gillmor, Paul E.; Gonzalez, Charles A.; Goodlatte, Bob; Gramm, Phil; Grams, Rod; Greenwood, James; Hagel, Charles; Houghton, Amo; Jeffords, James; Kind, Ron; Lieberman, Joseph; McCarthy, Carolyn; McCrerey, James; Maloney, Jim; Markey, Edward J; Moran, Jim; Myrick, Sue; Norwood, Charles W.; Oxley, Michael G.; Pickering, Charles W.; Pryce, Deborah; Roemer, Tom; Sanders, Bernard; Sandlin, Max; Santorum, Rick; Schumer, Charles; Shelby, Richard; Shimkus, John; Smith, Adam; Tauscher, Ellen; Tauzin, Billy; Torricelli, Robert; Towns, Edolphus; Udall, Mark; Upton, Fred; Waxman, Henry; Wayne, Allard; Wilson, [...]; Standards (FASB, independence), 1994 - 2000

Scope and Contents

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Keynote Address for the Illinois Arts Alliance, [IL], Feb. 4, 1992	box 19	folder 2
Remarks for the Illinois Arts Alliance and Major Arts Institutions, [IL], Feb. 5, 1992	box 19	folder 2
Speech for State of Connecticut Commission on the Arts, [CT], Mar. 10, 1992	box 19	folder 2
Speech for International Theatre Festival Board of Directors, Chicago, IL, Mar. 12, 1992	box 19	folder 2
Speech: Getting to 2000 - No Easy Answers For the Artsfor the Arts and Business Council Inc., IBM Corporation, Council of Arts in Westchester, Inc; Westchester County Office of Cultural Affairs, Mariott Hotel, Tarrytown, NY, Jun. 19, 1992	box 19	folder 2
Speech at Investors Dinner, [New York, NY], Oct. 5, 1992	box 19	folder 2
Speech: Reflection on Wall Street at SIA Conference, Apr. 14, 1993	box 19	folder 2
Undated speeches, drafts and fragments, n.d.	box 19	folder 3

Subseries III.4: Post-SEC

Scope and Contents

Texts and drafts of speeches and testimonies by A. Levitt, 2001 - 2007.

Title/Description	Instances	
Ernst & Young Conference, May 22, 2001	box 50	folder 5
Remarks by Arthur Levitt, Denver, CO, July 24, 2001	box 50	folder 6
Carlyle Presentation, September 10, 2001	box 50	folder 7
NAVA Conference, October 9, 2001	box 50	folder 8

Charles Schwab, October 10, 2001	box 50	folder 9
Powermart, October 16, 2001	box 50	folder 10
CCBN, October 23, 2001	box 51	folder 1
Charles River Ventures retreat, October 25, 2001	box 51	folder 2
Putnam Investments, October 26, 2001	box 51	folder 3
Carlyle Group, October 29, 2001	box 51	folder 4
SunGard World, October 29, 2001	box 51	folder 5
Spear, Leads, and Kellog, November 29, 2001	box 51	folder 6
Levitt on Enron, January 24, 2002	box 51	folder 7
Goldman Scchs Debt Capital, March 14, 2002	box 51	folder 8
CCBN Panel, March 26, 2002	box 51	folder 9
American Century Funds, April 4, 2002	box 51	folder 10
Business Week CFO Forum, April 25, 2002	box 51	folder 11
The Carlyle Group, April 29, 2002	box 52	folder 1
National Retail Federation, April 29, 2002	box 52	folder 2
California Bankers' Association, May 2, 2002	box 52	folder 3
Foley Lardner, May 9, 2002	box 52	folder 4
Grantham, Mayo, Van Otterloo Forum, May 14, 2002	box 52	folder 5
CIGNA Conference, May 16, 2002	box 52	folder 6
Fairfield County Day School, June 5, 2002	box 52	folder 7
Williams College Reunion Weekend, June 7, 2002	box 52	folder 8
Jay Alix and Associates Conference, June 14, 2002	box 52	folder 9
Calpers Option Workshop, June 17, 2002	box 52	folder 10
Rutgers Business School, June 24, 2002	box 52	folder 11
American Council of Life Insurers, June 28, 2002	box 52	folder 12
Carlyle Group Investor Conference, September 10, 2002	box 52	folder 13
Nixon Peabody, September 18, 2002	box 52	folder 14
Mercer Global Investment Forum, September 19, 2002	box 52	folder 15
Forbes, September 26, 2002	box 52	folder 16
Capital Resources Advisors Conference, October 3, 2002	box 52	folder 17
Fidelity Investments Conference, October 4, 2002	box 53	folder 1
Forbes CEO Forum, October 9, 2002	box 53	folder 2

American Petroleum Institute, October 15, 2002	box 53	folder 3
Risk Management Association, October 16, 2002	box 53	folder 4
Family Office Exchange Conference, October 22, 2002	box 53	folder 5
Business for Social Responsibility, November 8, 2002	box 53	folder 6
Brandes Investment Partners, November 12, 2002	box 53	folder 7
Hanson McClain Conference, November 12, 2002	box 53	folder 8
Carlyle Group, November 14, 2002	box 53	folder 9
Fannie Mae Executive Retreat, December 10, 2002	box 53	folder 10
AEA-AFA Convention, January 3, 2003	box 53	folder 11
PCMA Annual Meeting, January 8, 2003	box 53	folder 12
TIAA-CREF Forum, January 24, 2003	box 53	folder 13
Kelley School of Business Conference, March 5, 2003	box 53	folder 14
CFO Conference: Palm barbor, FL, March 18, 2003	box 53	folder 15
CCBN Seminar, March 20, 2003	box 53	folder 16
Charles River Ventures Retreat, March 27, 2003	box 53	folder 17
Pimco Conference, March 31, 2003	box 54	folder 1
Illinois Teachers Retirement Fund, April 3, 2003	box 54	folder 2
AESC Conference, April 11, 2003	box 54	folder 3
CFO Summit: Marina Del Rey, April 29, 2003	box 54	folder 4
Andor Capitol, May 7, 2003	box 54	folder 5
Miami School of Business, May 9, 2003	box 54	folder 6
Windy City Summit, May 14, 2003	box 54	folder 7
Commencement, University of Connecticut, May 18, 2003	box 54	folder 8
Vanderbilt University, June 9, 2003	box 54	folder 9
Bindview "Webinar", June 17, 2003	box 54	folder 10
Buy Side Market Data, June 18, 2003	box 54	folder 11
Conference Board Audit Committee, June 19, 2003	box 54	folder 12
Bindview "Webinar", July 30, 2003	box 54	folder 13
Curian Capital Summit, September 2, 2003	box 54	folder 14
Hyperion Seminar, September 10, 2003	box 54	folder 15
Institutional Investor's Corporate Roundtable, September 15, 2003	box 54	folder 16
Mutual Fund Directors Forum, September 22, 2003		

Arthur Levitt papers 4079912

	box 54	folder 17
Advent Software Conference, September 22, 2003	box 54	folder 18
Hyperion Seminar, October 14, 2003	box 55	folder 1
A. Brean Murray Conference, October 29, 2003	box 55	folder 2
Testimony before Subcommittee on Capital Markets, November 4, 2003	box 55	folder 3
Professional Liability Underwriting Conference, November 10, 2003	box 55	folder 4
KPMG Partners, November 20, 2003	box 55	folder 5
Church Alliance Meeting, December 4, 2003	box 55	folder 6
NYU Integrity of Financial Markets Conference, December 5, 2003	box 55	folder 7
Veritas Software Webcast, December 11, 2003	box 55	folder 8
Lacera Meeting, January 27, 2004	box 55	folder 9
TD Waterhouse, February 6, 2004	box 55	folder 10
CERA Global Oil Summit, February 9, 2004	box 55	folder 11
ALCAN Executives Retreat, February 14, 2004	box 55	folder 12
Deloitte Risk Management, March 25, 2004	box 55	folder 13
NYU Haskins Award Ceremony, April 28, 2004	box 55	folder 14
Reinsurance Conference, April 29, 2004	box 55	folder 15
Dickinson College Rush Award, May 6, 2004	box 55	folder 16
CFO Summit, May 11, 2004	box 55	folder 17
KPMG Global Energy Conference, May 24, 2004	box 56	folder 1
NIRI Annual Conference, June 8, 2004	box 56	folder 2
Grant and Eisenhoffer, June 9, 2004	box 56	folder 3
Eliot Spitzer Lunch, September, 2004	box 56	folder 4
Pfizer, September 17, 2004	box 56	folder 5
Poly Prep, October 2, 2004	box 56	folder 6
Columbia University Law School, October 15, 2004	box 56	folder 7
IOSCO Conference, October 28, 2004	box 56	folder 8
ADP Conference, October 29, 2004	box 56	folder 9
Deloitte CFO Conference, November 19, 2004	box 56	folder 10
KPMG: Atlanta, November 22, 2004	box 56	folder 11
KPMG: Boston, November 30, 2004		

	box 56	folder 12
KPMG: Philadelphia, December 1, 2004	box 56	folder 13
KPMG: Dallas, December 2, 2004	box 56	folder 14
KPMG: Phoenix, AZ, December 7, 2004	box 56	folder 15
KPMG: Detroit, December 14, 2004	box 56	folder 16
Odyssey Club, March 9, 2005	box 56	folder 17
Bank of America Hedge Fund Conference, June 6, 2005	box 56	folder 18
Rand Center for Corporate Ethics, June 16, 2005	box 57	folder 1
Bindview "State of Regulatory Compliance Summit", July 19, 2005	box 57	folder 2
SAS Webcast, July, 20, 2005	box 57	folder 3
Economist General Counsel Dinner, March 23, 2006	box 57	folder 4
Jackson National Life Dinner, June 20, 2006	box 57	folder 5
Riskmetrics Conference, June 21, 2006	box 57	folder 6
Bloomberg Securities Law Forum, June 22, 2006	box 57	folder 7
Bloomberg Securities Law Symposium, June 29, 2007	box 57	folder 8

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Series IV: Speeches Background Material

Scope and Contents

Printed materials, speeches by others with associated correspondence, notes and drafts relating to specific subjects and to public speaking in general.

Subseries IV.1: Individual Speakers' files

Scope and Contents

Individual files with speeches' texts by selected speakers

Title/Description	Instances	
Brademas, John New York University, President, 1986 - 1989	box 19	folder 4
Grace, J. Peter Foundation for the President's Private Sector Survey on Cost Control, Inc., Apr. - Jun. 1984	box 19	folder 5
Hunter, David W. SIA (Chairman); Parker/Hunter Inc., 1976 - 1984	box 19	folder 6

Scope and Contents

[Includes undated speech honoring A. Levitt at B'nai B'rith Dinner]

Kolton, Paul American Stock Exchange (Chairman), 1971 - 1977	box 19	folder 7
Peterson, Peter G. Lehman Brothers, Kuhn, Loeb, Inc., 1981 - 1984	box 20	folder 1
Williams, Harold M. US SEC (Chairman), 1978 - 1981	box 20	folder 2
Alda, Alan A - C, May 25, 1980	box 20	folder 3
Allen, Peter J. Human Resources Network, Feb. 17, 1978	box 20	folder 3

Subseries IV.2: Various speakers**Scope and Contents**

Arranged alphabetically

Title/Description	Instances	
Baldwin, Robert H.B. Morgan Stanley & Co.; SIA (Chairman), Dec. 1977 - Nov. 1978	box 20	folder 3
Bernstein, Peter L. Peter L. Bernstein, Inc., Mar. 1977 - Apr. 1978	box 20	folder 3
Biggs, Barton M. Morgan Stanley & Co., n.d.	box 20	folder 3
Birch, David, 1979	box 20	folder 3
Bladen, Ashley Guardian Life Insurance Co., Jan. 15, 1980	box 20	folder 3
Boothby, Willard S., Jr. SIA (Chairman-elect), Dec. 1, 1978	box 20	folder 3
Bunting, John R. First Pennsylvania Corp., Oct. 27, 1977	box 20	folder 3
Burns, Arthur F. Chairman, Federal Reserve System Board of Governors, Oct. 27, 1977	box 20	folder 3
Butcher, Willard C. Chase Manhattan Bank, Oct. 5, 1983	box 20	folder 3
Chandler, John W. Williams College, 1979 - 1983	box 20	folder 3
Collier, D. W., Oct. 3, 1977	box 20	folder 3
Cooper, Alan B. Wright State University, May 7, 1984	box 20	folder 3
Corn, Ira G. Michigan General Corp., Feb. 22, 1982	box 20	folder 3
Cox, Carol G. Committee for a Responsible Federal Budget, Dec. 13, 1983	box 20	folder 3
Cox, Morris A. William Volker Fund, Jun. 2, 1976	box 20	folder 3
Cunniff, John Associated Press, Oct. 28, 1977	box 20	folder 3

Davant, James W. Paine Webber Inc. D - I, Jul. 18, 1978	box 20	folder 4
Davis, Sidney, n.d.	box 20	folder 4
Dee, Robert F. Smithkline Corp., Jun. 19, 1980	box 20	folder 4
Demsetz, Harold Hoover Institution, Oct. 18, 1977	box 20	folder 4
Diamond, Joseph Skadden, Arps, Slate, Meagher & Flom, Oct. 22, 1984	box 20	folder 4
Driskoll, Robert S. Lord, Abnett & Co., May 8, 1979	box 20	folder 4
Etherington, Edwin D. Wesleyan University, 1968 - 1981	box 20	folder 4
Evans, Eli N., Feb. 26, 1989	box 20	folder 4
Evans, James H. Union Pacific Corporation, Oct. 25, 1982	box 20	folder 4
Frooks, Leighton, n.d.	box 20	folder 4
Gartner, David G. Commodity Futures Trading Commission, Feb. 16, 1979	box 20	folder 4
Gervitz, Don, Jan. 27, 1987	box 20	folder 4
Goldmark, Peter G. Rockefeller Foundation, Oct. 26, 1989	box 20	folder 4
Graziano, Frank J. Crompton & Knowles Corp., Apr. 13, 1976	box 20	folder 4
Horan, John J. Merck & Co., Dec. 9, 1980	box 20	folder 4
Jacobs, Harry A. Prudential-Bache Securities J - L, Nov. 4, 1983	box 20	folder 5
Jennings, Eugene, n.d.	box 20	folder 5
Jones, Reginald H. General Electric Company, 1974 - 1977	box 20	folder 5
Scope and Contents		
[Speeches on Capital Formation]		
Jordan, Vernon E. National Urban League, May 18, 1981	box 20	folder 5
Kaufman, Henry Salomon Brothers, May 1, 1980	box 20	folder 5
Kemp, Jack US House of Representatives, 1978 - 1983	box 20	folder 5
Krug, Maurice F. Technology, Inc., Sep. 1977	box 20	folder 5
Kudlow, Laurence A. New Economic Review, Mar. - Dec. 1980	box 20	folder 5
Lamm, Richard ex-Governor, CO, Oct. 1989	box 20	folder 5
Lazarus, Ralph Federated Department Store, May 3, 1979	box 20	folder 5

Scope and Contents

[Small Business]

Lehrer, Jim MacNeil/Lehrer Newshour, 1993	box 20	folder 5
Levitt, Theodore, n.d.	box 20	folder 5
Liebman, Walter H., n.d.	box 20	folder 5
Lipson, Leon S., 1979	box 20	folder 5
Little, Arthur D. Narragansett Capital Corp., Mar. 3, 1980	box 20	folder 5

Scope and Contents

[Small Business]

Malabre, Alfred L., Jr., Mar. 5, 1980	box 20	folder 6
Malkiel, Burton G.; Firstenberg, Paul Princeton University, Jun. 1979	box 20	folder 6
Minsky, Hyman P. Washington University, 1980	box 20	folder 6
Nelson, Gaylord US Senate, Jan. 14, 1980	box 20	folder 6

Scope and Contents

[Small Business]

Norris, William Control Data Corp., Jan. 28, 1980	box 20	folder 6
O'Brien, Edward I. SIA (President), 1978-1980	box 20	folder 6
O'Connell, Brian Independent Sector, May 17, 1986	box 20	folder 6
O'Leary, James J. US Trust Co., 1979 - 1983	box 20	folder 6
O'Sullivan, Don, Mar. 21, 1973	box 20	folder 6
Patricof, Alan J. Alan Patricof Associates P - R, Feb. 28, 1978	box 21	folder 1
Petersen, S. R.; Berg, H. E. Getty Oil Company, Feb. 8, 1978	box 21	folder 1
Phelan, John J. New York Stock Exchange, Chairman, 1981 - 1986	box 21	folder 1
Pollock, Oscar S., Sep. 23, 1980	box 21	folder 1
Poser, Norman S. American Stock Exchange (Exec. VP), Sep. 14, 1979	box 21	folder 1
Rapple, Willard C., Jr., Dec. 1980	box 21	folder 1
Reich, Robert B., Apr. 12, 1987	box 21	folder 1
Robinson, James D., III American Express Co. (Chairman), Aug. 5, 1983	box 21	folder 1

Rohatyn, Felix G. Lazard Freres & Co., Jan. 26, 1988	box 21	folder 1
Samuels, Howard, n.d.	box 21	folder 2
Scope and Contents		
[Small Business]		
Scribner, Richard O. American Stock Exchange (Exec. VP), Oct. 16, 1980	box 21	folder 2
Simon, [?], n.d.	box 21	folder 2
Sullivan, Joseph W. Chicago Board Options Exchange (President), Jan. 10, 1978	box 21	folder 2
[Stean], Martha, n.d.	box 21	folder 2
Steinberg, David Long Island University (President), Nov. 13, 1985	box 21	folder 2
Stevenson, Howard H. Harvard University, Jun. 6, 1983	box 21	folder 2
Sweeney, John J. Remarks for Arthur Levitt reception, October 2, 2002	box 59	folder 5
Taylor, Arthur R., Feb. 15, 1977	box 21	folder 2
Thatcher, Margaret Prime Minister, UK, Nov. 12, 1979	box 21	folder 2
Thomas, Barbara S. US SEC, Jun. 1981	box 21	folder 2
Tolley, Joseph C., Apr. 25, 1976	box 21	folder 2
Vitulo-Martin, Julia Fiscal Observer, Nov. 19, 1979	box 21	folder 2
Walker, James W., Jr. SIA (Exec. VP), Mar. 24, 1977	box 21	folder 2
Wriston, Walter B. Citicorp, 1980-1982	box 21	folder 2
Zises, Alvin, 1977	box 21	folder 2

Subseries IV.3: Drafts and Background Information

Scope and Contents

Speech drafts, notes, printed material, quotes, memos etc used as background for speeches. Arranged by subject.

Title/Description	Instances	
Drafts and Notes, n.d.	box 21	folder 3
Capital Formation 1977 - 1990	box 21	folder 4
Clippings 1978 - 1988	box 21	folder 5
The Executive Speaker 1982 - 1987	box 21	folder 6
Small Business 1979 - 1981	box 21	folder 7
Securities Industry Association 1990 - 1993		

	box 21	folder 8
Printed Materials 1975 - 1985	box 21	folder 9
Quotes and correspondence 1973 - 1990	box 21	folder 10
Restructuring the Financial Accounting Foundation, April 9, 2001	box 59	folder 8

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Series V: Biographical & Articles About Levitt

Scope and Contents

Contains materials from Levitt's school years, pre-sec employment, TV appearances, honors.

Title/Description	Instances	
Poly Prep School - Diary, 1945 - 1947	box 22	folder 1
Poly Prep School Yearbook, 1948	box 22	folder 2
Biographical Information, 1967 - 1998	box 22	folder 3
American Stock Exchange, 1978 - 2000	box 22	folder 4
Hamilton College Arthur Levitt Public Affairs Center, 1981 - 1998	box 22	folder 5
Peterson, Peter; Levitt, Arthur; Weiss, Stanley BENS METRO Seminar, Feb. 20, 1988	box 22	folder 6
Moscovitch, Edward New England Economic Review The Downturn in the New England Economy: What Lies Behind It, with related correspondence, 1990	box 22	folder 7
Roll Call, 1990 - 1995	box 22	folder 8
Fields, Jack; Klein, Martin I.; Lang, Robert Todd; McLucas, William R.; Seligman, Joel Speeches of others about A. Levitt, 1994 - 2000	box 22	folder 9
National Securities Clearing Corporation (NSCC); Depository Trust Company (DTC) Report of the Vision 2000 Committee, Sep. 1994	box 22	folder 10
Zanford, Charles Zanford vs. Levitt Case, 1996	box 22	folder 11
Awards, 1996 - 2002	box 22	folder 12
Wall Street Week with Louis Rukeyser, No. 2940, Mar. 31, 2000	box 22	folder 13
Article on Levitt from San Francisco Chronicle and Washington Post, November 15 and 17, 2002	box 59	folder 6
Remarks of Philip Le B. Douglas at Presentation of Douglas Award to Arthur Levitt, Jr., September 17, 2002	box 59	folder 7

Congressional Record: "Arthur Levitt: The Investors' Advocate", February 7, 2001	box 59	folder 9
Invitation to Breakfast with Stanley Fisher, April 15, 2002	box 59	folder 9

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Series VI: Printed Materials

Subseries VI.1: Periodicals and brochures

Scope and Contents

These materials were part of additions, donated by A. Levitt in 2002. They represent contents of original scrapbooks, created by A. Levitt. Materials are in original chronological order.

Title/Description	Instances	
Periodicals and brochures, 1979 - 2001	box 23	folder 1 - 5
Miscellaneous magazines, brochures, and pamphlets, 2001-2003	box 60	

Subseries VI.2: News Clippings

Title/Description	Instances	
Scrapbooks, 1965 - 2001	box 23A	folder 1 - 6
Scope and Contents		
[Materials represent contents of original scrapbooks, created by A. Levitt. Materials are in original chronological order. Correspondence and photographs from scrapbooks are replaced by photocopies, and the originals are moved to the corresponding series.]		
SEC Resignation Letters and Clippings scrapbook, 2000 - 2001	box 23A	folder 7
After SEC Resignation, 2001 - 2002	box 23A	folder 8
Articles by A. Levitt Jr., 1977 - 1990	box 23A	folder 9
American Stock Exchange, Roll Call Articles re: A. Levitt Jr., 1977 - 1991	box 23A	folder 10
Articles sent by A. Levitt Jr. to son A. Levitt III, 1990 - 1991	box 23A	folder 11
Various clippings, 1988 - 1991	box 23A	folder 12
Clippings and articles, 2001-2003	box 59	folder 10-13

Subseries VI.3: Books

Title/Description	Instances
Arthur levitt. <i>Take On The Street: How to Fight for Your Financial Future</i> , 2002	box 60
Jim Salim with R. Foster Winans. <i>The Great Wall Street Swindle</i> , 2001	box 60

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Series VII: Arthur Levitt Sr. Papers

Scope and Contents

Papers relating to father, NY State Comptroller Arthur Levitt Sr. See Audiovisual - Photos and Audio subseries for audiovisual materials related to A. Levitt Sr.

Title/Description	Instances
Correspondence, 1976 - 1980	box 24 folder 1
Speeches and Biography, 1963 - 1979	box 24 folder 2
Printed Materials, 1977 - 1980	box 24 folder 3
Weinstein, Jack B. <i>A Modern Constitution for New York</i> , Syracuse, NY, 1966	box 24 folder 4
NY State Comptroller Studies on Issues in Public Finance, 1973	box 24 folder 5
US Treasury Bill Covering Guarantees of NYC Bonds, 1978	box 24 folder 6
Public Hearing on NY State Public Employee Pension Fund Investment Practices, 1979	box 24 folder 7
Columbia University, 1975 - 1979	box 24 folder 8
Green, S. William US House of Representatives Service Academy Selection Committee, 1979 - 1980	box 24 folder 9
Excerpts from Speeches at Hamilton College, 1968 - 1995	box 24 folder 10
A. Levitt Sr. Materials in New York State Archives, 1955 - 1978	box 24 folder 11
NY State Comptroller News Clippings, 1971 - 1978	box 24 folder 12

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Series VIII: Audiovisual Records

Scope and Contents

Series consists of 127 VHS tapes and 9 Audiotapes. Arranged Chronologically. Duplicate tapes are at the end of the series

Subseries VIII.1: Video**Title/Description****Instances****Sub-subseries VIII.1.1: Hearings and Testimonies.****Scope and Contents**

37 unique VHS (24 total) tapes

Title/Description**Instances**

CN8: Mutual Fund Scandal, undated	box 61	tape 1
Levitt Speech, undated	box 62	tape 1
Bloomberg Television tape, undated	box 61	tape 3
"Character Studies" An Introduction, undated	box 62	tape 3
Decisions 2003. Hunter College, NYC, undated	box 62	tape 5
Fox News. "Your World with Neil Cavuto", undated	box 62	tape 6
PBS: Frontline: DOT CON, January 24, 2002	box 61	tape 2
AART. Arthur Levitt 2002 Andrus Award, April 29, 2002	box 61	tape 4
NHK Special: Enron Collapse, June 20, 2002	box 62	tape 2
Financial Management Network: Arthur Levitt Speaks Out, November 2002	box 61	tape 5
Senate Confirmation Hearings, US SEC Chairman Arthur Levitt, [1993] <u>Physical Description:</u> 1 Scope and Contents [2 duplicates]	box 25	folder 1
Arthur Levitt's ROBTV Interview with Howard Green. Part 1, February 26, 2003	box 61	tape 6
Arthur Levitt's ROBTV Interview with Howard Green. Part 2, February 27, 2003	box 62	tape 4
Telecommunication and Finance Hearing. The Municipal Securities Market - Chairman Levitt, Sep. 9, 1993 <u>Physical Description:</u> 1	box 25	folder 2

Scope and Contents

[1 duplicate]

Hearing on Mutual Fund Industry, Nov. 10, 1993 <u>Physical Description:</u> 1	box 25	folder 3
Subcommittee on Oversight and Investigations, Committee of Energy and Commerce, Concerning Bank Sales of Mutual Funds, Parts 1 - 4, Mar. 3, 1994 <u>Physical Description:</u> 4	box 25	folder 4 - 7
Subcommittee on Telecommunications and Finance. Chairman Levitt - Securities Regulatory Equality Act, Apr. 13, 1994 <u>Physical Description:</u> 1	box 25	folder 8
H. R. 3447, Panel # 2, Apr. 14, 1994 <u>Physical Description:</u> 1	box 25	folder 9
Chairman's Hearing, Parts 1 - 2, May 25, 1994 <u>Physical Description:</u> 2	box 25	folder 10-11
Hearing before House Energy & Commerce Committee, Telecommunication and Finance Subcommittee on Securities Fraud Litigation with Arthur Levitt., Jul. 22, 1994 <u>Physical Description:</u> 1 (RT: 2 hrs. 8 min. 23 sec.)	box 25	folder 12
Rogue Brokers, Rep. Markey, Sep. 14, 1994 <u>Physical Description:</u> 1	box 25	folder 13
Banking, Housing and Urban Affairs, Jan. 5, 1995 <u>Physical Description:</u> 1 (RT: 3 hrs. 22 min.)	box 26	folder 1
H. R. 10, Feb. 10, 1995 <u>Physical Description:</u> 2	box 26	folder 2 - 3
H. R. 10 Fields, Feb. 10, 1995 <u>Physical Description:</u> 1	box 26	folder 4
H. R. 18, Mar. 15, 1995 <u>Physical Description:</u> 2	box 26	folder 5 - 6
Subcommittee on Capital Market, Mar. 30, 1995 <u>Physical Description:</u> 1	box 26	folder 7
Testimony before the Subcommittee on Telecommunications and Finance and the Subcommittee on Commerce, Trade and Hazardous Material. Arthur Levitt, Chairman, US SEC, Regarding H. R. 1062 The Financial Services Competitiveness Act of 1995, Jun. 6, 1995	box 26	folder 8

Physical Description: 1**Sub-subseries VIII.1.2: Speeches and media appearances****Scope and Contents**

Series consists of 89 unique tapes (94 total)

Title/Description	Instances	
American Electronics Association: Stock Options Rally, n.d. <u>Physical Description:</u> 1	box 26	folder 9
Arthur Levitt, Jr.: A Man For All Seasons, n.d. <u>Physical Description:</u> 1	box 26	folder 10
American Association of Retired Persons: SEC Advice VNR, n.d. <u>Physical Description:</u> 1	box 26	folder 11
Coastline Community College: Dollars & Sense. Program 119: Stocks., n.d. <u>Physical Description:</u> 1	box 26	folder 12
WFSB-TV (CBS); WTIC-TV (FOX) Connecticut Investors' Town Meeting, n.d. <u>Physical Description:</u> 1	box 26	folder 13
The Fight to Expose: The Blinder Robinson Scandals, n.d. <u>Physical Description:</u> 1 Scope and Contents [Denver-based Blinder Robinson & Co.the largest penny stock brokerage in the country, filed for bankruptcy in 1990. The company's founder, Meyer Blinder, was convicted of securities fraud racketeering and money laundering two years later.]	box 27	folder 1
US SEC How to Invest Wisely, n.d. <u>Physical Description:</u> 1	box 27	folder 2
Levitt News Highlights <u>Physical Description:</u> 1	box 27	folder 3
Levitt on CNBC, n.d. <u>Physical Description:</u> 1	box 27	folder 4
National Press Club, n.d.	box 27	folder 5

Physical Description: 1

US SEC New York Town Meeting by Crosswalks TV, n.d.	box 27	folder 6
<u>Physical Description:</u> 1		
Scope and Contents		
[1 duplicate]		
PBS Newshour with Jim Lehrer: Full Disclosure, n.d.	box 27	folder 7
<u>Physical Description:</u> 1		
PBS Nightly Business Report: Chairman Levitt on Mutual Funds, n.d.	box 27	folder 8
<u>Physical Description:</u> 1		
PBS Nightly Business Report: Levitt Story, n.d.	box 27	folder 9
<u>Physical Description:</u> 1		
WNBC-TV (NBC) Nightly News: Wall Street Journal Scandal, Apr. 18, n.y.	box 27	folder 10
<u>Physical Description:</u> 1		
Office of Thrift Supervision Seminar: Facing the Year 2000 Challenge Together, n.d.	box 27	folder 11
<u>Physical Description:</u> 1 (RT: 57 min.)		
Philadelphia District Office: Jonathan Lebed, n.d.	box 27	folder 12
<u>Physical Description:</u> 1(RT: 10 min.)		
Shareholders Rights / Accounting Wrongs, n.d.	box 27	folder 13
<u>Physical Description:</u> 1 (RT: 7 min.)		
Bowne; Northeast Chapter for the American Corporate Counsel Association Think Twice 2: How the SEC Detects and Pursues Insider Trading, n.d.	box 28	folder 1
<u>Physical Description:</u> 1		
A Time for Justice, n.d.	box 28	folder 2
<u>Physical Description:</u> 1		
Tuesday Morning General Session. Speaker: Arthur Levitt, n.d.	box 28	folder 3
<u>Physical Description:</u> 1 (RT: 31 min. 12 sec.)		
PBS Wall Street Week # 748, n.d.	box 28	folder 4
<u>Physical Description:</u> 1		
City Club: Arthur Levitt, Jr., 1981	box 28	folder 5
<u>Physical Description:</u> 1		
CNN Pinnacle with Arthur Levitt, Mar. 17, 1984	box 28	folder 6

Physical Description: 1

Scope and Contents

[Tape also contains: Pinnacle with Deborah Szekely, Apr. 22, 1989]

ABC Good Morning America: Arthur Levitt, Dec. 1, 1986 <u>Physical Description:</u> 1	box 28	folder 7
CNN Inside Business: Arthur Levitt, Dec. 13, 1987 <u>Physical Description:</u> 1	box 28	folder 8
NBC Meet the Press: Arthur Levitt, Oct. 16, 1988 <u>Physical Description:</u> 1 Scope and Contents [One of the tapes also contains: Cardinal O'Conner's Visit (FOX, Channel 5). 1 Duplicate]	box 28	folder 9
US SEC Swearing In Video, [1993] <u>Physical Description:</u> 1 Scope and Contents [Chairman's copy]	box 28	folder 10
PBS Nightly Business Report: Chairman Levitt on Fund Managers, Jan. 11, 1994 <u>Physical Description:</u> 1	box 28	folder 11
PBS Morning Business Report: Chairman Levitt on Mutual Fund, Personal Trading, Jan. 12, 1994 <u>Physical Description:</u> 1	box 28	folder 12
ABC Good Morning America: Arthur Levitt, May 20, 1994 <u>Physical Description:</u> 1	box 28	folder 13
Enforcement Roundtable Discussion, Jun. 13, 1994 <u>Physical Description:</u> 1	box 29	folder 1
Bloomberg L. P. The Bloomberg Forum: SEC Chairman Arthur Levitt Interview, Aug. 29, 1994 <u>Physical Description:</u> 1	box 29	folder 2
CNN Moneyline: SEC Budget, Oct. 4, 1994 <u>Physical Description:</u> 1	box 29	folder 3
Security Industry Association Annual Convention, Nov. 30 - Dec. 3. 1994. Day Three Module, [1994]	box 29	folder 4

Physical Description: 1

CNBC Inside Opinion: Chairman Levitt on Mutual Funds, Mar. 31, 1995	box 29	folder 5
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Physical Description: 1

WFAA-TV Investors' Town Meeting: SEC Chairman Arthur Levitt Appearance, Dallas, TX, Apr. 12, 1995	box 29	folder 6
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Physical Description: 1

WFAA-TV Arthur Levitt SEC Air Check, Dallas, TX, Apr. 16, 1995	box 29	folder 7
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Physical Description: 1

National Association of Securities Dealers NASD Annual Conference: Arthur Levitt speech on Broker Practices, May 19, [1994/1995]	box 29	folder 8
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Physical Description: 1**Scope and Contents**

[Year is 1995 on spine, 1995 on front label -
Verify. Beninning of speech is missing.]

PBS Wall Street Week with Louis Rukeyser. Guest: Arthur Levitt, Jr., Jun. 9, 1995	box 29	folder 9
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Physical Description: 1

WNET-TV (PBS); Merrill Lynch Wall Street Week: Chairman Arthur Levitt., Jun. 10, 1996	box 29	folder 10
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Physical Description: 1 (RT: 11 min.)**Scope and Contents**

[1 duplicate]

GMA; CNBC Profile Prospectus, July 31, 1995	box 29	folder 11
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Physical Description: 1

WJLA-TV (ABC) Good Morning America: Arthur Levitt / SEC and Mutual Funds, Washington, DC, July 31, 1995	box 29	folder 12
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Physical Description: 1 (RT: 1 hr. 45 min.)

Government Finance Officers Association (GFOA); National Association of Counties (NACo) A Whole New Ballgame in Municipal Bond Disclosure, 1995	box 29	folder 13
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Physical Description: 1 (RT: 85 min. 14 sec.)

Stanford Law School Executive Education Programs - Directors' College. Keynote Speech by Arthur Levitt., Mar. 1996	box 30	folder 1
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Physical Description: 1

PBS; Alvin H. Perlmutter, Inc. Adam Smith Show # 1223: Arthur Levitt: A Conversation, Apr. 18, 1996 <u>Physical Description:</u> 1 (RT: 26 min. 46 sec.)	box 30	folder 2
EdwardJones Regional Leader Meeting: Arthur Levitt, SEC Chairman, Apr. 21-23, 1996 <u>Physical Description:</u> 1 Scope and Contents [Note on label: For internal use only. Do not show to the Public.]	box 30	folder 3
C-SPAN Philadelphia Investors' Town Meeting, Philadelphia, PA, Jun. 11, 1996 <u>Physical Description:</u> 1	box 30	folder 4
National Association of Securities Dealers NASD Press Conference, Aug. 8, 1996 <u>Physical Description:</u> 1	box 30	folder 5
CNN-TV; Video Monitoring Services of America Moneyline: Arthur Levitt, Dec. 26, 1996 <u>Physical Description:</u> 1 (RT: 5 min. 23 sec.)	box 30	folder 6
TV Footage on Arthur Levitt in Israel (KDH Ceremony), [1996] <u>Physical Description:</u> 1	box 30	folder 7
LA Times I.S.C: Arthur Levitt, Mar. 1997 <u>Physical Description:</u> 1	box 30	folder 8
Detroit Economic Club Luncheon Talk. Hon. Arthur Levitt, SEC Chairman: CPA and CEO's - A Relationship at Risk, Detroit, MI, May 19, 1997 <u>Physical Description:</u> 1 (RT: 51 min. 45 sec.)	box 30	folder 9
Bloomberg L. P. The Bloomberg Forum: SEC Chairman Arthur Levitt Interview, Jul. 30, 1997 <u>Physical Description:</u> 1	box 30	folder 10
CNBC Arthur Levitt in the news, May 27, 1997; May 6, 1998; Jul. 13, 1998 <u>Physical Description:</u> 1	box 30	folder 11
US SEC Summary of Investor Education Campaign (Informese Es Su Dinero Es Su Futuro), Chile, May 1, 1998 <u>Physical Description:</u> 1 (RT: 5 min.)	box 30	folder 12
Court TV Arthur Levitt Interview, Jun. 19-21, 1998	box 30	folder 13

Physical Description: 1

CNBC Arthur Levitt on Broker Pay, Jul. 13, 1998	box 31	folder 1
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Physical Description: 1**Scope and Contents**

[Tape also contains: CNBC - John Stark on Internet Fraud, Jul. 13, 1998]

FOX News Channel Cavuto Report, Sep. 28, 1998	box 31	folder 2
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Physical Description: 1

NBC; CNBC Nightly News: Arthur Levitt on Mutual Funds; Levitt on Mutual and Hedge Funds, Oct. 13-14, 1998	box 31	folder 3
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Physical Description: 1 (2 segments)

CNBC Hedge Fund Regulation, Oct. 15, 1998	box 31	folder 4
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Physical Description: 1

William O. Douglas, Commission Meeting Room Dedication, Oct. 16, 1998	box 31	folder 5
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Physical Description: 1**Scope and Contents**

[Note on label Master]

CNN Moneyline: Arthur Levitt, Oct. 30, 1998	box 31	folder 6
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Physical Description: 1

Bloomberg L. P. The Bloomberg Forum: SEC Chairman Arthur Levitt Interview, Nov. 18, 1998	box 31	folder 7
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Physical Description: 1**Scope and Contents**

[1 duplicate]

[US SEC] Confirmation, 1998	box 31	folder 8
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Physical Description: 1

[US SEC] Swearing In, 1998	box 31	folder 9
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Physical Description: 1

CNN Arthur Levitt on Social Security, Feb. 17, 1999	box 31	folder 10
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Physical Description: 1

[ABC News] Nightline, Mar. 2, 1999	box 31	folder 11
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Physical Description: 1

PBS Wall Street Week with Louis Rukeyser. Guest: Arthur Levitt, Jr., #2837, Mar. 12, 1999	box 31	folder 12
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<u>Physical Description:</u> 1		
CNBC Arthur Levitt, Apr. 1999	box 31	folder 13
<u>Physical Description:</u> 1		
National Press Club Luncheon - Arthur Levitt, May 4, 1999	box 32	folder 1
<u>Physical Description:</u> 1		
CNBC Business Center: Phil Gramm, Sep. 28, 1999	box 32	folder 2
<u>Physical Description:</u> 1		
NBC Fleecing of America: Arthur Levitt on Investment Advises Fraud., Nov. 17, 1999	box 32	folder 3
<u>Physical Description:</u> 1		
Remarks by Chairman Arthur Levitt, US SEC, Nov. 20, 1999	box 32	folder 4
<u>Physical Description:</u> 1		
PBS Nightly Business Report: Arthur Levitt, Jan. 11, 2000	box 32	folder 5
<u>Physical Description:</u> 1		
PBS Nightly Business Report: Arthur Levitt Interview, Jan. 17, 2000	box 32	folder 6
<u>Physical Description:</u> 1		
PBS Wall Street Week with Louis Rukeyser: Arthur Levitt, Mar. 31, 2000	box 32	folder 7
<u>Physical Description:</u> 1		
CNBC The Squawk Box: Arthur Levitt, SEC, May 10, 2000	box 32	folder 8
<u>Physical Description:</u> 1 [RT: 6 min. 48 sec.]		
Investing for Success: Interview with Hugh Price, May 12, 2000	box 32	folder 9
<u>Physical Description:</u> 1		
Scope and Contents		
[Note on label: No cutaways]		
Sungard World, September 5, 2001. (VHS videotape)	box 58	item 1
CBS 60 Minutes: Jonathan Lebed and Arthur Levitt, Oct. 22, 2000	box 32	folder 10
<u>Physical Description:</u> 1		
PBS Wall Street Week with Louis Rukeyser: 30th Anniversary, # 3018, Nov. 3, 2000	box 32	folder 11
<u>Physical Description:</u> 1		

Scope and Contents

[1 duplicate]

North American Securities Administrators Association Annual Meeting of NASAA: SEC Chairman Arthur Levitt, Sep. 2000 <u>Physical Description:</u> 1 (RT: 12 min)	box 32	folder 12
SEC Chairman Arthur Levitt: Retirement Message, Dec. 20, 2000 <u>Physical Description:</u> 1	box 32	folder 13
PBS, MPT Wall Street Week with Louis Rukeyser: First 30 Years, 2000 <u>Physical Description:</u> 1 (RT: approx 60 min.)	box 33	folder 1
CBS 60 Minutes II - Roel of TV Analysts, Jan. 20, 2001 <u>Physical Description:</u> 1	box 33	folder 2
Fairfield University, 51st Commencement Exercises, Class of 2001 - Awards, Honorary Degree Recipients, Addresses, Fairfield, CT, May 20, 2001 <u>Physical Description:</u> 1	box 33	folder 3
Economic Club of Chicago The Greening of American Enterprise, Chicago, IL, Feb. 13, 1980 <u>Physical Description:</u> 1	box 33	folder 4
Financial Management Network 1. Arthur Levitt Speaks out; (segment 1 - FEI and IMA news) 2. Corporate Governance and Financial Executives. 3. Business strategy and sales taxes. 4, Cash Flow in hard times., Nov. 2002	box 33	folder 5

Subseries VIII.2: Audio**Title/Description****Instances****Sub-subseries VIII.2.1: Arthur Levitt Jr.****Title/Description****Instances**

NPR Consumer Initiative, Oct. 20, 1994 <u>Physical Description:</u> 1 side	box 34	folder 1
Prime Time Radio: Investing Information in Plain English, Mar. 11, 1997 <u>Physical Description:</u> 1/2 side	box 34	folder 2
Symposium on Career Options For Minority Students in the Securities and Commodity Futures Industries, Feb. 19, 1998	box 34	folder 3 - 4

Physical Description: 2 tapes (3 sides)

NPR Market Structure, Dec. 21, 1999	box 34	folder 5
<u>Physical Description</u> : 1 side		
LA Times Keynote: Tech Stock All-Stars: Top Fund Managers Give Picks, n.d.	box 34	folder 6
<u>Physical Description</u> : 1 side		
US SEC Public Funds, Public Trust and the Federal Securities Laws, Alexandria, VA, n.d.	box 34	folder 7
<u>Physical Description</u> : 1 side		
Economic Club of Chicago Take on Wall Street, Chicago, IL, Oct. 15, 2002	box 34	folder 8
<u>Physical Description</u> : 2 sides		
unmarked tape	box 34	folder 9 - 10
<u>Physical Description</u> : 2 tapes		

Sub-subseries VIII.2.2: Arthur Levitt Sr.

Scope and Contents

vinyl records, 10" LP, 33 1/3 rpm. These materials were part of additions, donated by A. Levitt in 2002.

Title/Description	Instances	
Talk by Hon. Arthur Levitt, Rochester, NY, Apr. 23, 1957	box 34	folder 11
Scope and Contents		
[78 needle]		
NBC-TV Citizens Union Searchlight, Oct. 25, 1959	box 34	folder 12
WNEW-TV Metropolitan Probe, Jan. 10, 1960	box 34	folder 13
CBS Let's Find Out, Jan. 31, 1960	box 34	folder 14
WBAI Albany Report, Feb. 11, 1960	box 34	folder 15
WNTA-TV Between the Lines, Feb. 14, 1960	box 34	folder 16
WMCA Barry Gray Show, Mar. 19, 1960	box 34	folder 17
WNEW Compulsory Fall-out Shelters, Mar. 20, 1960	box 34	folder 18

Subseries VIII.3: Photographs

Title/Description	Instances
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Sub-subseries VIII.3.1: Arthur Levitt Jr.

Scope and Contents

These materials were part of additions, donated by A. Levitt in 2002. Arthur Levitt in all pictures

Title/Description	Instances	
Berlind, Roger S.; Ball, [...]; Cogan, Marshall S.; Courter, James Andrew; Levitt family; Sturat, [...]; Weill, Sanford I.; American Stock Exchange; Brandeis University; Defense Base Closure Commission; Hayden, Stone; Pre-SEC photos, v.p., 1967 - 1993 <u>Physical Description:</u> 6 8x10 b&w print, 3 8x10 color print, 1 5x7 color prints	box 34	folder 19
Carter, Jimmy; Clinton, Bill; Clinton, Hillary Rodham; Gore, Albert; Reagan, Ronald; White House , Washington, DC, 1980 - 1999 <u>Physical Description:</u> 13 8x10 color print, 1 4x6 color print Scope and Contents [Photos contain signatures and autographs by Carter, Reagan, Clinton, Gore]	box 34	folder 20
Block, Herbert; Dinkins, David; Photos with New York City Mayor David Dinkins, New York, NY, Aug. 18, 1993 <u>Physical Description:</u> 2 8x10 b&w print	box 34	folder 21
Carey, [...]; Hunt, [Isaac C.]; Johnson, [...]; Schuetze, Walter P.; Turner, Lynn E.; Unger, Laura; SEC Staff , Washington, DC,, n.d. <u>Physical Description:</u> 4 8x10 color print Scope and Contents [Photo by Greenfeld-Sanders, Timothy]	box 34	folder 22
Dingell, John D. Boston Globe, New York Times; Washington Post Newspaper Photos of SEC chairman, v.p., n.d. <u>Physical Description:</u> 2 8x10 color print, 1 8x10 b&w print Scope and Contents [Washington Post photo inscribed to Levitt by John Dingell]	box 34	folder 23
Brodsky, William J; Goldsberry, John W.; Goldsberry, William; Hartmann, Ulrich; Luthringshausen Wayne P.; Petzel, Todd; Sandner, Jack; Tully, Daniel P.; American Stock Exchange, Chicago Board Options Exchange; Chicago Mercantile Exchange; Merrill Lynch & Co; National Association of Securities Dealer; New York Stock Exchange, North American Securities	box 34	folder 24

Administration Association; Securities Industry Association; VEBA AG Industry Leaders, Chicago, IL; New York, NY, 1993 - 1998

Physical Description: 4 4x6 color print, 6 8x10 color print, 1 8x10 b&w print

Scope and Contents

[Copies of related correspondence enclosed. CBOE photos by Richard Shay,]

Rukeyser, Louis Maryland Public Television [Wall Street Week], [MD], 1995 box 34 folder 25

Physical Description: 11 8x10 color print

Scope and Contents

[Inscription by Rukeyser (2 prints). Photos by Susan Noonan]

Gore, Albert; Swearing In for the 2nd SEC term, 1998 box 34 folder 26

Physical Description: 6 4x6 color print

Scope and Contents

[Copy of the letter to Mr. Charles Burson of Apr. 29, 1998 re: swearing in.]

George Washington University; Hofstra University Universities, Washington, DC; Hempstead, NY, n.d. box 34 folder 27

Physical Description: 8 8x10 color print

Scope and Contents

[Hofstra Photos by Brian Ballweb, Garden City, NY]

Cameron, Alan Australian Securities and Investment Commission Trips - Australia, n.p., n.d. box 34 folder 28

Physical Description: 3 5x7 b&w prints, 1 5x7 color prints

Trips - Egypt, Egypt, n.d. box 34 folder 29

Physical Description: 4 5x7 color prints

Arnon, Igai; Karet, [...]; [Netanyahu, Benjamin]; Nissim, Moshe; Ofir, [...]; Ronel, Shalom Israel Securities Authority Trips - Israel, Israel, [1994] box 34 folder 30

Physical Description: 7 5x7 color prints

Scope and Contents

[Invitation in Hebrew enclosed. Photos by Sarit Uziely]

Securities and Futures Commission Trips - Hong Kong, Hong Kong, [2000]	box 34	folder 31
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Physical Description: 2 5x7 color prints, 3 4x6 color print, 5 4x5 color print

Scope and Contents

[Copy of the letter from Andrew Sheng of Jul. 31, 2000 enclosed]

Public Education / Dallas Town Meeting., v.p., n.d.	box 34	folder 32
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Physical Description: 2 8x10 b&w print, 3 5x7 color prints

American Bar Association; Anti-Defamation League Associations, [1997]	box 34	folder 33
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Physical Description: 4 5x7 b&w prints, 2 4x6 color print

Scope and Contents

[Copy of letter from Salomon Brothers' Simon M. Lorne enclosed]

Various Photographs	box 34	folder 34
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Physical Description: 4 8x10 color print, 5 5x7 color prints, 5 5x7 b&w prints, 1 8x10 b&w print, 5 4x6 color prints and smaller

Sub-subseries VIII.3.2: Arthur Levitt Sr.

Title/Description	Instances	
Photos of A. Levitt, Sr. <u>Physical Description:</u> 8 b&w, 1 color	box 34	folder 35
Mark Bomse Contact Sheets of A. Levitt, Sr. <u>Physical Description:</u> 9 b&w	box 34	folder 36
Faximile of signatures of various politicians, including A. Levitt, NY State Comptroller	box 34	folder 37

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Series IX: Digital Materials

Scope and Contents

These materials were part of additions, donated by A. Levitt in 2002 and 2014.

Title/Description	Instances	
Selected Releases from the SEC Website, www.sec.gov, prepared by chairman A. Levitt, Sep. 1995 - Jan. 2001 <u>Physical Description</u> : CD-R	box 34	folder 38
Scope and Contents		
[primarily .html and .pdf files]		
Janelle Haskell Prime Time Radio; AARP Arthur Levitt (tracks 1 and 2), Oct. 15, 2002 <u>Physical Description</u> : 30:06 audio CD	box 34	folder 39
C-Span Washington Journal "Dial-in Q&A with Arthur Levitt, October 16, 2008. (CD)	box 58	item 2
CBS Evening News "Arthur Levitt Interview", October 24, 2008. (CD)	box 58	item 3
Bloomberg "Night Talk" Mike Schneider with Arthur Levitt, November 6, 2008. (CD)	box 58	item 4
Bloomberg "Night Talk" Mike Schneider with Arthur Levitt, November 6, 2008. (CD).	box 58	item 5
Arthur Levitt at Indian River State College, March 2, 2009. (CD)	box 58	item 6
Various credit and home loan commercials, 2000s. (4 CDs)	box 58	item 7-10
Smooth jazz (CD)	box 58	item 11

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Series X: SEC Work Files**Scope and Contents**

All files in this series were part of additions, donated by A. Levitt in 2002. Original titles. General SEC subject files are followed by subseries arranged alphabetically by office of origin or subject.

Subseries X.1: General

Title/Description	Instances	
SEC Annual Reports, 1993 - 1999	box 35	folder 1 - 4
Legislative developments affecting SEC, 1993 - 2000	box 35	folder 5 - 6
SEC Press Releases Index, 1993 - 2000	box 35	folder 7
SEC Rules - proposed and final, 1993 - 2001	box 35	folder 8

Press Statements by Levitt, 1993 - 2000	box 36	folder 1
IPO Study on behalf of Philadelphia, Boston, Chicago and Pacific Stock Exchanges, Feb. 17, 1995	box 36	folder 2
The Common Sense Legal Reforms Act of 1995 (re: H.R. 10), Feb. 23, 1995	box 36	folder 3
Calendar for Levitt, 1996 - 2001	box 36	folder 4
Report to Congress re: Securities and Litigation Reform Act, Apr. 1997	box 36	folder 5
General Accounting Office GAO Draft Report to Congressional Committees, May 1997	box 36	folder 6
Confirmation Hearing Q&A, Mar. 25, 1998	box 36	folder 7

Subseries X.2: Auditors' Independence

Scope and Contents

Files arranged chronologically by starting date.

Title/Description	Instances	
Commission on Auditors Responsibilities (Cohen Commission) Report, 1978	box 36	folder 8
Letters by SEC Chief Accountant, 1998 - 2000	box 36	folder 9
Press Articles on Auditor Independence, Jan. 2000 - Jul. 2000	box 37	folder 1 - 2
Public Hearing on Independence - Participant Binder, Jul. 26, 2000	box 37	folder 3 - 4
Public Hearing on Independence - Background Prep. Binder, Jul. 26, 2000	box 38	folder 1 - 2
Public Hearing on Independence - Supplemental Materials, Jul. 26, 2000	box 38	folder 3 - 4
Public Hearing on Independence - Transcript, Jul. 26, 2000	box 38	folder 5
Selected Letters from Small Firms, Aug. - Sep. 2000	box 38	folder 6
Industry and other support, Sep. - Nov. 2000	box 39	folder 1
Public Hearing on Independence - Participant Binder, Sep. 13, 2000	box 39	folder 2 - 3
Public Hearing on Independence - Participant Binder, Sep. 20, 2000	box 39	folder 4 - 5
Public Hearing on Independence - Participant Binder, Sep. 21, 2000	box 39	folder 6

US Senate, Securities Subcommittee, Banking Housing and Urban Affairs Committee Hearing on SEC Audit Rules - Transcript, Sep. 28, 2000	box 39	folder 7
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Subseries X.3: Division of Corporate Finance

Scope and Contents

Files arranged chronologically by starting date.

Title/Description	Instances	
Staff Legal Bulletin, Nos. 1 - 7, Feb. 1997 - Sep. 1998	box 40	folder 1
Plain English Proposal, Jun. 1997	box 40	folder 2
Significant Accomplishment, 1996 - 2000, [2000]	box 40	folder 3
Office of Small Business Policy, Dec. 2000	box 40	folder 4
Releases, 1995 - 2000	box 40	folder 5 - 8

Subseries X.4: Division of Enforcement

Scope and Contents

Files arranged chronologically by starting date.

Title/Description	Instances	
BT Securities Corp; Bear Stearns Sec. Corp; Bennett Funding Group; Cendant; Dreyfus, Exchange Options (AMEX, CBOE, Pacific, Philadelphia); First Jersey; Livent, NASDAQ (filed under Certain Market Activities on NASDAQ) Significant Cases of Levitt's Tenure: Index + A - L, 1993 - 2000	box 41	folder 1
Milken, Michael R; O'Hagan, James; MC Group; NASD; NYSE; Paine Webber, PriceWaterhouseCoopers; Prudential Securities; Stratton Oakmont; Van Kampen Investment Advisory Group; W. R. Grace & Co. Significant Cases: M - Z, 1993 - 2000	box 41	folder 2
Municipal Securities Cases, 1994 - 2000	box 41	folder 3
Office of Internet Enforcement, 1996 - 2000	box 41	folder 4
Wheat First Securities Investigation, 1998	box 41	folder 5
Microcap Fraud, 1998 - 2000	box 41	folder 6
Significant Insider Training Actions, 2000	box 41	folder 7
Yield Burning Actions, 2000	box 41	folder 8

Subseries X.5: Division of Investment Management

Scope and Contents

Files arranged chronologically by starting date.

Title/Description	Instances	
Public Utility Holding Company Act (PUCHA), 1992 - 2001	box 41	folder 9 - 10
Multi-Class Master Feeds, 1993 - 1995	box 42	folder 1
Money Market Funds Rule 12a-7, 1993 - 1996	box 42	folder 2
Large Firm Project, 1994	box 42	folder 3
Personal Investments of Investment Company Personnel (Rule 17j - 1), 1994 - 1999	box 42	folder 4
Mutual Funds, 1994 - 2000	box 42	folder 5
Releases on SEC Electronic Data Gathering Analysis and Retrieval System (EDGAR), 1994 - 2000	box 42	folder 6
Contingent Deferred Sales Loads (Rule 6c-10), 1995	box 42	folder 7
1995 Permitted Arrangements, 1995 - 1999	box 42	folder 8
Report on Compensation Practices, Apr. 10, 1995	box 42	folder 9
Technical Amendments, 12b-1, 1996	box 42	folder 10
Privately Offered Investment Companies, 1996 - 1997	box 42	folder 11
Independent Directors, 1999 - 2001	box 42	folder 12
Householding, Nov. 16, 1999	box 42	folder 13
Regulation S-P (Privacy of consumer financial info), 2000	box 42	folder 14
Electronic Signatures Exemption, 2000	box 42	folder 15
Significant Accomplishment, as of Dec. 15, 2000, Dec. 15, 2000	box 42	folder 16

Subseries X.6: Division of Market Regulation**Scope and Contents**

Files arranged chronologically by starting date.

Title/Description	Instances	
Net Capital Requirements, 1993 - 1997	box 43	folder 1
Municipal Securities Disclosure, Mar. - Nov. 1994	box 43	folder 2
Municipal Securities Rulemaking Board (MSRB) rule change on Pay-to-Play, Apr. 7, 1994	box 43	folder 3
Rule 19c-4 (shareholder voting rights), Dec. 19, 1994	box 43	folder 4

Rule 15c6-1 (T + 3- Three business days as standard settlement timeframe), [1995]	box 43	folder 5
Electronic Media Releases, 1995 - 2000	box 43	folder 6
Derivatives Policy Group, Mar. 1995	box 43	folder 7
Office of Interpretation and Guidance, Jul. - Aug. 1996	box 43	folder 8
Concept Release on regulation of Exchanges, [1997]	box 43	folder 9
Releases re: Year 2000, 1997 - 1998	box 43	folder 10
Security Arbitration Clinic, 1997 - 1998	box 43	folder 11
Rule 17a-4 (Reporting requirements), Feb. 12, 1997	box 43	folder 12
Report on Preferencing, Apr. 11, 1997	box 43	folder 13
New York Stock Exchange (NYSE) Rule 500, [Dec. 1997]	box 43	folder 14
Order Approving Order Audit Trail System (OATS) for National Association of Securities Dealers (NASD), Mar. 6, 1998	box 44	folder 1
Circuit Breaker Approval Order, Apr. 1998	box 44	folder 2
Technology Roundtable, Apr. 1998	box 44	folder 3
Tradepoint Exemption, Jul. 1998 - Mar. 1999	box 44	folder 4
OTC Derivatives Dealers, Nov. 3, 1998	box 44	folder 5
New Products Exemptions, Dec. 8, 1998	box 44	folder 6
Release on Exchanges and Alternative Trading Systems (ATS), Dec. 22, 1998	box 44	folder 7
Report on Hedge Funds, Apr. 1999	box 44	folder 8
Intermarket Trading System (ITS) Plan Amendments, Apr. 1999 - Jul. 1999	box 44	folder 9
Web Central Registration Depository (CRD), May 1999 - Jul. 1999	box 44	folder 10
Releases re: Options Linkage, Oct. 1999 - Jul. 2000	box 44	folder 11
Commodity Exchange Act (CEA) - Shad-Johnson, Nov. 1999 - Dec. 2000	box 44	folder 12
Market Data Concept Release, [2000]	box 44	folder 13
Decimalization, Jan. 2000 - Jun. 2000	box 44	folder 14
International Securities Exchange (ISE) Registration, Feb. 24, 2000	box 45	folder 1
National Money Laundering Strategy, Mar. 2000	box 45	folder 2
Electronic Communication Networks (ICN) and After-Hours Trading, Jun. 2000	box 45	folder 3

Releases re: Decimals, Jun. 8, 2000	box 45	folder 4
Order Execution Quality, Aug. - Dec. 2000	box 45	folder 5
Regulation S-P (Privacy of consumer financial info), [Nov. 2000]	box 45	folder 6
Payment for Order Flow, Dec. 19, 2000	box 45	folder 7
Regulation M, [Jan. 2001]	box 45	folder 8
Short Sale Concept Release, [Jan. 2001]	box 45	folder 9
Firm Quote and Trade Through Disclosure Rules, Feb. 1, 2001	box 45	folder 10

Subseris X.7: International Accounting Standards Committee

Scope and Contents

Files arranged chronologically by starting date.

Title/Description	Instances	
Memoranda of Understanding: Australia, China, Egypt, Germany, Hong-Kong, india, Israel, Portugal, Russia, Singapore, South Africa, UK, 1993 - 2000	box 46	folder 1
I International Securities correspondence (copies), 1994 - 1998	box 46	folder 2
Litigation Releases (Lexis-Nexis), 1994 - 2000	box 46	folder 3
International Organization of Securities Commissions IOSCO, 1998 - 2000	box 46	folder 4
International Accounting Standards Committee, 1999 - 2001	box 46	folder 5
International Disclosure Standards, 2000	box 46	folder 6
International Accomplishments, 1993 - 2000, [Dec. 2000]	box 46	folder 7

Subseris X.8: Office of Chief Accountant

Scope and Contents

Files arranged chronologically by starting date.

Title/Description	Instances	
Financial Accounting Foundation, 1996	box 47	folder 1
Financial Accounting Standards Board, 1996 - 1997	box 47	folder 2
Loan Loss Reserves, 1998 - 1999	box 47	folder 3
Staff Accounting Bulletin, Nos. 99 - 101, 1999	box 47	folder 4
Earnings Management, 1999 - 2000	box 47	folder 5

Audit Committee Disclosure, Jan. 2001	box 47	folder 6
OCA Significant Accomplishments, Jan. 2001	box 47	folder 7

Subseris X.9: Office of Compliance, Inspection and Examination

Scope and Contents

Files arranged chronologically by starting date.

Title/Description	Instances	
OCIE Creation, 1995	box 47	folder 8
Memoranda of Understanding, 1995	box 47	folder 9
Sales Practice Sweep Report, Mar. 1996	box 47	folder 10
Mutual Fund Oversight, May 28, 1997	box 47	folder 11
Soft Dollar Sweep, Sep. 22, 1998	box 47	folder 12
Year 2000 Readiness, Jun. 1999	box 47	folder 13
Enforcement Action Against NYSE, Jun. 29, 1999	box 47	folder 14
Risk Management, Jul. 1999	box 47	folder 15
Day Trading Report, Feb. 25, 2000	box 47	folder 16
Limit Orders Report, May 4, 2000	box 47	folder 17
Enforcement Actions Against Options Exchanges, Sep. 11, 2000	box 47	folder 18
Payment for Order Flow, Dec. 2000	box 47	folder 19
OCIE Significant Accomplishments, Jan. 2001	box 47	folder 20

Subseris X.10: Office of General Council

Scope and Contents

Files arranged chronologically by starting date.

Title/Description	Instances	
Blount, William B., 1994 - 1995	box 48	folder 1
USA vs. O'Hagan, 1996 - 2001	box 48	folder 2
Regulation FD, 1999 - 2000	box 48	folder 3
Garten Committee, 2000	box 48	folder 4
OGC Significant Accomplishments, Jan. 2001	box 48	folder 5

Subseris X.11: Office of Investor Education and Assistance

Scope and Contents

Files arranged chronologically by starting date.

Title/Description	Instances	
Investor Education and Protection Initiatives, 1994	box 48	folder 6
Town Hall Meetings, 1995 - 2000	box 48	folder 7
General Information, 1995 - 2000	box 48	folder 8

Subseries X.12: Office of Municipal Securities**Scope and Contents**

Files arranged chronologically by starting date.

Title/Description	Instances	
Municipal Securities Correspondence (copies), 1994 - 1995	box 48	folder 9
Disclosure Obligations, Mar. 9, 1994	box 48	folder 10
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Frohnmayr, John E. ; Leventhal, Nathan National Endowment of Arts, Lincoln Center for Performing Arts Levitt's Wall Street Journal Article on NEA and related correspondence, Jun. 1990	box 49	folder 9
Doctorow, E. L.; Goldmark, Peter C.; Keillor, Garrison Rockefeller Foundation NEA Congressional Testimonies, 1991	box 49	folder 10
Levitt's Luncheon Address: Getting to 2000 - No Easy Answers For the Arts for the Arts and Business Council Symposium, and associated correspondence, Oct. - Dec. 1991	box 49	folder 11
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Scrapbook pages containing newspaper clippings on A. Levitt Sr., 1967 - 1978 <u>Physical Description:</u> 11	box 344	folder 2
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Polytechnic Preparatory Country Day School Issue of Polygon newspaper with article about A. Levitt Jr. as a officer at US Air Force., Brooklyn, NY, Feb. 6, 1953	box 344	folder 5
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Abernathy, E. H. New Zealand Securities Commission, TO: May 7, 1996	
Abraham, Spencer US Senate, FROM: Dec. 16, 1999; TO: Feb. 10, 2000;	
Abrams, Bernard, TO: Apr. 20, 1995	
Abramson, Julie Australian Securities and Investment Commission, Australia, TO: Aug. 9, 2000;	
Abramson, Karin White House - Intern Program, TO: Feb. 21, 1996 (RE: Rivera-Dirks, John)	
Ackerman, Gary L. US House of Representatives, FROM: Mar. 17, 1997; May 14, 1997; Feb. 24, 1998; TO: Apr. 30, 1997; Mar. 18, 1998;	
Ackermann, Josef Deutsche Bank AG, Germany, TO: Apr. 25, 1997; Jan. 5, 1999;	
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Akaka, Daniel K. US Senate, TO: Nov. 20, 1997;	
Albrecht, W. Steve Brigham Young University, FROM: May 23, 1997; TO: Jun. 27, 1997;	
Albright, Madeline US Department of State - Secretary, TO: Dec. 12, 1996; Apr. 24, 1997;	
Alcantara, Joyce Ministry of Finance, Trinidad and Tobago (Permanent Secretary), TO: Jan. 25, 1995	
Aliber, Robert Z. University of Chicago, IL - Graduate School of Business, FROM: Jun. 25, 1999; TO: Jul. 13, 1999;	
Allard, Wayne US Senate, FROM: May 18, 1998; Oct. 3, 2000; TO: Jul. 10, 1998; Sep. 18, 2000; Nov. 3, 2000;	

Allardice, Robert Deutsche Morgan Grenfell Inc., TO: Apr. 8, 1998;

Allen, William T. New York University School of Law; Independence Standards Board., TO: Aug. 29, 1997; Jan. 7, 1999 (Turner, Lynn);

Allison, Graham Harvard University, JFK School of Government, TO: Oct. 21, 1998;

Allison, Herbert C. Merrill Lynch & Co., Inc., TO: Jan. 30. 1997; Oct. 17, 1997;

Al-Otabi, Hisham S. Kuwait Stock Exchange Commission, FROM: Jul. [12], 1996; TO: Jul. 23, 1996;

Adduci, Jeffrey Regional Investment Bankers Association, FROM: Sep. 18, 1997; TO: Nov. 17, 1997;

Albertine, Jack Albertine Enterprises, Inc., TO: Oct. 23, 1995; Mar. 6, 1996

Alda, Alan Martin Bregman Productions, TO: Mar. 1, 1996

Alford, Joan C. Dolphin Financial Advisors, TO: Apr. 20, 1995

Allbritton, Joseph Riggs Bank, TO: Oct. 21, 1998;

Allecta, Julie Paul, Hastings, Janofsky & Walker, LLP, TO: Mar. 16, 1999;

Allen, John H., FROM: Nov. 13, 1995; TO: Jan. 18, 1996

Allen, Ronald W. Delta Airlines (CEO), TO: Jan. 6, 1995; May 1, 1995

Alvarez, Aida Office of Federal Housing Enterprise Oversight, FROM: May 1, 1995; TO: May 31, 1995

Ambler, Diane E. Meyer, Brown & Platt, TO: Mar. 16, 1999;

Ameen, Philip D. Financial Executives Institute, TO: Nov. 22, 2000 (+ auditors independence mailout list);

Amos, Daniel P. AFLAC, Inc., TO: Apr. 20, 1995; May 2, 1996

Anderson, Anna Washington Service, FROM: Mar. 5, 1997; TO: Mar. 13, 1997 (Butler, Wilson A.);

Anderson, Debbie Federal Bar Association, TO: May 15, 1997 (RE: McLucas, William);

Anderson, Diane Philadelphia Stock Exchange, TO: Feb. 17 1995

Anderson, Hugh Council on Economic Education, NV, TO: May 14, 1998;

Andresen, Matthew Island ECN, Inc., FROM: Aug. 15, 2000;
TO: Sep. 18, 2000;

Arbor, Patrick H. Chicago Board of Trade, FROM: Feb. 18,
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Archer, Bill US House of Representatives, TO: Mar. 27,
1995; Jan. 19, 1996;

Arias Sanchez, Rodrigo Bolsa Nacional de Valores, S.A.,
Costa Rica, FROM: Sep. 11, 1997; Apr. 16, 1998; TO: Oct.
16, 1997; May 15, 1998;

Armey, Richard K. US House of Representatives, TO: Mar.
27, 1995

Arms, Abigail US SEC - Division of Corporation Finance,
TO: Oct. 11, 1995

Armstrong, James Sinclair Whitman, Breen, Abbott &
Morgan, FROM: Mar. 13, 1995; TO: Mar. 27, 1995; Apr. 5,
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Arnold, Thomas Treasury and Civil Service Committee, UK,
FROM: Mar. 15, 1995; TO: Jan. 30, 1995 (Greenspan); Apr.
18, 1995

Aronson, Tracey E. US SEC - Counsel, FROM: Jan. 20, 2000
(Spemann, Thomas);

Artzt, Edwin L. Procter & Gamble Company, FROM: Jun.
14, 1995; TO: Jun. 28, 1995

Ascher, William Claremont McKenna College, FROM: Sep.
4, 2000; TO: Oct. 18, 2000 (Hannigan, Barbara);

Atkin, Doug M. Instinet, TO: Oct. 15, 1999;

Atkins, Paul S. Coopers & Lybrand, FROM: Nov. 11, 1994;
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Auch, Walter E., FROM: Sep. 30, 1995; TO: Oct. 24, 1995

Austin, Richard J.C. Bradford & Co., TO: Feb. 17 1995

Avril, George J. Nagdeman & Company, Inc., FROM: Aug.
14, 1996; TO: Aug. [...], 1996

Babbitt, Bruce Secretary of the Interior, TO: Nov. 18, 1998;

Bachman, John W. Edward D. Jones & Co., FROM: Jan. 10,
1995; Apr. 3, 1998; Jun. 17, 1999; Jan. 25, 2001; TO: Mar.
2, 1995; Apr. 20, 1995; Jun. 7, 1995; Oct. 18, 1995; Oct.
23, 1995 (+ list); Jan. 19, 1996; Apr. 15, 1998; Jul. 15,
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Bailey, Andrew D. University of Illinois, Urbana-Champaign,
IL, Sep. 20, 1996; TO: Oct. 29, 1996

Bailey, Joseph A. New York Stock Exchange, TO: Feb. 17
1995

Bair, Elizabeth US SEC - Northeast Regional Office, TO: Feb. 24, 1995

Baker, Russell Office of the Secretary of State, USA, TO: Apr. 21, 1995

Baker, William, FROM: Feb. 13, 1994 (personal file)

Baladi, Andre Andre Baladi & Associates, Switzerland, FROM: Apr. 20, 1995; TO: May 19, 1995

Balamaci, Nicholas S. US SEC - Office of Public Affairs, Policy Evaluation & Research, TO: Feb. 17 1995; Sep. 29, 1995; FROM: May 27, 1997;

Baird, Brent D., FROM: Apr. 26, 1996; TO: May 8, 1996;

Baker, Howard American Stock Exchange, TO: Feb. 17 1995; Sep. 29, 1995; FROM: May 27, 1997;

Baker, Howard H. US Senate, TO: Mar. 2, 1998

Baker, Len Sutter Hill Ventures, TO: Jun. 13, 2000;

Baker, Nat Boy Scouts of America, TO: Mar. 24, 1998

Baker, Richard H. US House of Representatives, FROM: Feb. 28, 1995; Nov. 20, 1997; TO: Mar. 10, 1995; Aug. 25, 1995 (Maco); Feb. 25, 1998; Apr. 15, 1998; Sep. 30, 1998;

[Bandzwoler], Joseph, FROM: Aug. 7, 1998;

Barbash, Barry US SEC - Division of Investment Management; Shearman & Sterling, FROM: Aug. 10, 1998; TO: Feb. 13, 1998; Feb. 26, 1999; Mar. 16, 1999; Oct. 20, 1999;

Barchilon, Rene, FROM: Aug. 3, 1993; TO: Aug. 12, 1993

Balducchi, Deborah K. US SEC - Office of Equal Employment Opportunity, TO: Oct. 30, 1998; Feb. 26, 1999;

Baris, Jay G. Kramer, Levin, Naftalis & Frankel, LLP, FROM: Feb. 25, 1999; TO: Mar. 25, 1999;

Barclay, Betsy E*Trade Group, Inc., FROM: Jul. 25, 2000; TO: Aug. 9, 2000;

Barnes, Liz-Ann New York Stock Exchange Market Surveillance, TO: Feb. 8, 1995

Barnett, Jonathan S. Securities Industry Association, FROM: Jul. 23, 1993; TO: Aug. 4, 1993

Baron, Neil D. Fitch Investors Service, L.P., FROM: Feb. 3, 1995; TO: Feb. 21, 1995

Barr, Bob US House of Representatives, FROM: Mar. 28, 2000; TO: Apr. 3, 2000;

Barr, Clifford, FROM: Jul. 9, 1996; Apr. 14, 1999; TO: Jul. 19, 1996; May 18, 1999;

Barram, David General Services Administration, TO: Mar. 11, 1996

Barrentine, Glen US SEC - Division of Market Regulation, TO: Feb. 17 1995

Barrett, Matthew W. Bank of Montreal, Ontario, Canada, FROM: Dec. 18, 1995; TO: Jan. 16, 1996;

Barrett, Thomas M. US House of Representatives, FROM: Oct. 10, 1996; TO: Dec. 10, 1996; May 3, 2000;

Barry, Marion Mayor, DC, TO: Dec. 24, 1996;

Barry, Poala Department of Banking, CT - Division of Securities, TO: Feb. 17 1995

Barry, Robert US Embassy, Indonesia - Ambassador, TO: May 5, 1995

Barshefsky, Charlene US Trade Representative, TO: Nov. 5, 1996

Bartell, Michael E. US SEC, TO: Oct. 4, 1995

Bartley, Robert L. Wall Street Journal, TO: Aug. 15, 1995; Mar. 26, 1997; Apr. 15, 1998; May 18, 1999; Aug. 19, 1999; Jan. 29, 2001;

Barton, Joe US House of Representatives, FROM: Sep. 26, 1996; Feb. 13, 1997; TO: Mar. 27, 1995; Oct. 28, 1996; Mar. 14, 1997;

Battista, Felicia US SEC - Division of Corporation Finance, TO: May 3, 1995; Oct. 23, 1995

Bauer, Charles H., TO: Apr. 20, 1995

Bauer, Robert A., TO: Apr. 20, 1995

Baumann, Karl-Hermann Supervisory Board, Germany, TO; Jan. 29, 2001;

Bayer, Daniel S. British-American Chamber of Commerce, From: Nov. 27, 1995; TO: Dec. 21, 1995

Bayh, Evan US Senate, FROM: May 25, 2000 (see Jun. 21, 2001, Mason, Eli); TO: Jul. 17, 2000;

Bayless, David B. US SEC - San Francisco District Office, CA, FROM: Sep. 25, 1995 (personal file); TO: Dec. 30, 1996;

Bayless, Robert US SEC - Division of Corporation Finance, TO: Mar. 16, 1995; Oct. 11, 1995

Beattie, Richard I. Simpson, Thacher & Bartlett, FROM: Aug. 2, 1993; TO: Aug. 9, 1993

Belluck, Robert US SEC, TO: Sep. 29, 1995

Benardete, Steven M. Securities Industry Association,
FROM: Dec. 31, 1996; TO: Jan. 15, 1997;

Bender, Gerard, TO: Apr. 20, 1995

Becker, JoAnne E. LNC Equity Sales Corporation, TO: Apr.
20, 1995

Beebe, Jodi Utility Consumers' Action Network, FROM: May
9, 2000; TO: Jun. 20, 2000;

Beemer, David, FROM: Nov. 13 1995; TO: Dec. 7, 1995

Beese, Carter Center for Strategic & International Studies;
Alex Brown International;; FROM: Oct. 7, 1996; Jan. 27,
1997; TO: Apr. 26, 1995; Oct. 29, 1996; Feb. 12, 1997

Behr, Soma Golden New York Times, TO: Mar. 28, 1995

Behrmann, Matthew P., TO: Apr. 22, 1996

Bela, Richard J. Hispanic Association on Corporate
Responsibility, FROM: Oct. 9, 1998; TO: Oct. 16, 1998;

Belash, Judith Goldman Sachs & Co., TO: Feb. 17 1995

Bender, Mary Chicago Board Options Exchange, TO: Dec. 5,
1995

Benn, Caroline M. Bond Market Association, TO: Apr. 14,
1998;

Bennett, Marshall National Association of State Auditors,
Comptrollers and Treasurers., FROM: May 24, 1996; TO:
Jul. 16, 1996;

Bennett, Robert F. US Senate, FROM: Feb. 21, 1995; Feb.
27, 1997; Nov. 12, 1998; May 24, 1999; Dec. 16, 1999; May
25, 2000 (filed under Jun. 21, 2001, Mason, Eli); TO: Jan.
17, 1995; Mar. 2, 1995; Jun. 7, 1995; Apr. 15, 1997; Nov.
20, 1997; Apr. 7, 1998; Nov. 20, 1998; Mar. 5, 1999;

Bentsen, Kenneth E. US House of Representatives, FROM:
Aug. 20, 1999; TO: Mar. 27, 1995; Aug. 26, 1999;

Bentsen, Lloyd US Department of Treasury, FROM: Nov. 3,
1994 (Waigel, Theodore)

Benzie, J. Peter Chase Manhattan Investment Services,
FROM: Feb. 16, 1995; TO: Mar. 22, 1995; Apr. 20, 1995

Berardino, Joseph F. Arthur Andersen, LLP, TO: Nov. 27,
2000

Beresford, Dennis R. Financial Accounting Standards Board;
University of Georgia - J.M. Tull School of Accounting,
FROM: Jan. 6, 1995; Mar. 9, 1995; Jul. 31, 1995; Apr. 5,
1996; May 19, 1997; Apr. 6, 1998; TO: Jan. 19, 1995; Mar.

16 1995; Aug. 29, 1995; Dec. [5], 1995; Apr. 24, 1996; Apr. 15, 1998;

Berg, David, FROM: Dec. 8, 1994

Berger, David, Esq. Berger & Montague, P.C., FROM: Jul. 29, 1993; TO: Aug. 4, 1993

Berko, Malcolm Trading Stock, FROM: Jun. 14, 1995; TO: Jun. 28, 1995

Berkson, Edward J. Locust Street Securities, Inc., FROM: Dec. 1, 1997; TO: Mar. 4, 1998

Berlanda, Enzo Commissione Nazionale per le Societa e la Borsa, Italy, FROM: Aug. 11, 1993; Feb. 2, 1996; TO: Aug. 18, 1993; Feb. 6, 1996; Feb. 27, 1996; Dec. 26, 1996;

Berman, Howard L. US House of Representatives, FROM: Oct. 10, 1996; Dec. 10, 1997; TO: Dec. 10, 1996; Jan. 20, 1998;

Berman, Norman New York University Leonard N. Stern School of Business, TO: May 2, 1995

Berry, Joanah US SEC - Office of Investor Education, TO: Dec. 3, 1998;

Bertera, William J. American Public Works Association, TO: Jan. 9, 1997;

Berthel, Thomas J. Berthel Fisher & Co Financial Services Inc., FROM: Apr. 21, 1997; TO: May 22, 1997;

Bertram, Janine, TO: Aug. 14, 1997

Beyer, John T. PFS Investments, Inc., TO: Apr. 20, 1995

Bialkin, Kenneth J. Skadden, Arps, Slate, Meagher & Flom, TO: Oct. 23, 1995; Mar. 6, 1996; May 7, 1996; Mar. 5, 1998

Bibliowicz, Jessica Smith Barney; John A. Levin & Co., TO: Mar. 8, 1995; Mar. 16, 1999;

Biggins, J. Veronica Heidrick & Struggles, FROM: [Jul.], 1997; TO: Jul. 23, 1997;

Biggs, John H. TIAA-CREF, FROM: Jul. 15, 1999; TO: Nov. 6, 1996; Aug. 16, 1999; Nov. 27, 2000;

Bilbray, Brian P. US House of Representatives, TO: Feb. 18, 1997

Billici, George W. Cravath, Swaine & Moore, TO: Dec. 23, 1996;

Bindenagel, J.D. US Embassy, Germany, FROM: May 21, 1997; TO: Apr. 25, 1997; Jul. 16, 1997;

Binder, Gordon M. Amgen, Inc., TO: May 1, 1995

Birnbaum, Robert J., FROM: Jun. 21, 1999; TO: Jul. 21, 1999;

Bishop, Keith Paul Department of Corporations, CA, FROM: Nov. 13, 1996 (See also Griffin, Mark, Jan. 27, 1997); TO: Jan. 17, 1997;

Bishop, William G. Institute of Internal Auditors, FROM: Jun. 6, 1997; TO: Jun. 27, 1997; Jun. 13, 1999;

Bingaman, Jeff US Senate, FROM: Apr. 21, 1999; TO: Jun. 14, 1999;

Birgfeld, Frank J. National Association of Securities Dealers Regulation, Inc., TO: May 14, 1998;

Black, Ella M. US SEC - Office of Municipal Securities, TO: Feb. 5, 1996

Blackmore, Robert L., FROM: Apr. 30, 1998; TO: May 11, 1998;

Blair, Shila, C. Commodity Futures Trading Commission, FROM: Jul. 30, 1993; TO: Aug. 4, 1993

Blair, Warren E. US SEC - Chief Administrative Law Judge, FROM: Feb. 28, 1994

Blandin, Don American Savings Education Council, TO: Apr. 14, 1998; May 22, 2000;

Blant, Roy US House of Representatives, FROM: Sep. 27, 2000; TO: Oct. 31, 2000;

Blaydon, Colin C. Dartmouth College, TO: Apr. 26, 1995

Blea, Arthur Pojoaque Valley Schools, TO: Jun. 19, 1996 (RE: John Rivera-Dirks)

Blezarde, Thomas Williams Alumni Review, TO: Aug. 27, 1998;

Bliley, Thomas J. US House of Representatives, FROM: Mar. 3, 1996; Mar. 5, 1996; Apr. 23, 1996; Feb. 5, 1997; May 2, 1997; May 23, 1997 (filed under Buffet, Warren, Aug. 25, 1997); Jun. 16, 1997; Apr. 24, 1998; Nov. 18, 1998; Jan. 20, 2000; Apr. 3, 2000; May 8, 2000; Jun. 20, 2000; Jul. 13, 2000; T

Block, Dennis J. Cadwalader, Wickersham & Taft, TO: May 30, 2000;

Bluestain, Sanford G., FROM: Oct. [21], 1997; Sep. [20], 1999; TO: Aug. 6, 1993; Oct. 30, 1997; Oct. 12, 1999;

Blum, Andrew M. C.E. Unterberg, Towbin International, FROM: Jun. 8, 2000; TO: Jun. 14, 2000;

Blumenthal, Richard Attorney General, CT, FROM: Sep. 21, 2000; TO: Oct. 31, 2000; Nov. 27, 2000;

Blunt, Roy US House of Representatives, FROM: Jul. 9, 1997; Sep. 27, 2000; TO: Aug. 1, 1997; Nov. 14, 1997; Oct. 31, 2000;

Boaz, Thomas M., TO: Apr. 20, 1995

Boehmler, Sarah Porter, FROM: Feb. 5, 1997; TO: Feb. 14, 1997

Boehner, John A. US House of Representatives, FROM: Feb. 2, 1999; TO: Feb. 23, 1999;

Boggs, Lindy Tulane University, TO: May 2, 1996

Bogle, John C. (Jack) Vanguard Group, FROM: May 19, 1998; Feb. 22, 1999; TO: Apr. 26, 1995; Jun. 19, 1998; Dec. 1, 1998; Mar. 5, 1999; Mar. 31, 1999; Nov. 27, 2000;

Bohan, Gloria Omega World Travel, TO: Mar. 18, 1997 (RE: Downs, Phil); Oct. 28, 1997;

Bollinger, Debra M. Division of Securities, SD (Director), TO: Apr. 21, 1995

Bon, Helene Federation des Experts Comptables Europeens, Belgium, FROM: Jan. 24, 2000; TO: Mar. 27, 2000;

Bond, Christopher S. US Senate, TO: Apr. 7, 1997; Mar. 31, 1999;

Bonilla, Henry US House of Representatives, TO: Mar. 27, 1995

Bonior, David E. US House of Representatives, FROM: Oct. 10, 1996; TO: Dec. 10, 1996

Booker, Walter K. Sponsors for Educational Opportunity, FROM: Feb. 9, 1998; TO: Mar. 18, 1998;

Bookey, Jack H. US SEC - Seattle Office, FROM: Jul. 29, 1993; TO: Aug. 4, 1993

Booren, Steve Smith Barney Shearson, Inc, TO: Apr. 20, 1995

Boosalis, Helen American Association of Retired Persons, TO: Apr. 20, 1995; May 2, 1996

Borchers, Eric S. Boy Scouts of America, TO: Jul. 17, 1998;

Borders, Brian T. Association of Publicly Traded Companies, FROM: Feb. 23, 1995; TO: Feb. 24, 1995

Borg, Joseph Securities Commission, CA, TO: Apr. 21, 1995; Oct. 25, 1995 (+ list)

Boris, James R. Kemper Securities, Inc., TO: Mar. 2, 1995; Apr. 20, 1995; Jun. 7, 1995

Born, Brooksley Commodity Futures Trading Commission, FROM: Dec. 9, 1996; Jan. 7, 1997; Jan. 28, 1997; Feb. 5,

1997; Feb. 10, 1997; Feb. 14, 1997; TO: Dec. 26, 1996; Jan. 17, 1997; Feb. 7, 1997; Feb. 14, 1997;

Bortner, Deborah Securities Division, WA, TO: Apr. 21, 1995

Bosley, Daniel US House of Representatives, TO: May 9, 1995

Bothwell, James L. US Government Accounting Office, FROM: Sep. 26, 1995 (filed under Hatfield, Nov. 15, 1995)

Boucher, John US SEC, TO: Sep. 29, 1995

Bowden, William P. Societe Generale USA, FROM: Mar. 7, 1997; TO: Apr. 4, 1997;

Bowlding, Michael US SEC - Print Shop, TO: Oct. 6, 1997;

Bowles, Erskine B. White House - Deputy Chief of Staff; Forstmann Little & Co., FROM: Dec. 18, 1996; TO: Jun. 12, 1995; Dec. 4, 1996; Dec. 10, 1997; Jan. 29, 2001;

Bowman, Thomas A. Association for Investment Management and Research, FROM: Dec. 14, 1994; TO: Jan. 11, 1995

Bowsher, Charles A. US Comptroller General; Public Oversight Board; FROM: Jun. 27, 1996; Dec. 9, 1999 (Turner, Lynn); TO: Aug. 22, 1996; Aug. 26, 1996; May 27, 1997(Balamaci, N.); Dec. 21, 1999 (Turner, Lynn);

Box, Michael House of Representatives, AL, FROM: Mar. 18, 1997; TO: Mar. 26, 1997;

Boxer, Barbara US Senate, FROM: Jan. 23, 1995; TO: Feb. 6, 1995; Feb. 7, 1995

Boyce, Ralph US Embassy, Thailand, TO: May 5, 1995;

Boyles, Harlan E. Treasurer, NC, FROM: Feb. 4, 1994 (Clinton, William); Nov. 3, 1995; TO: Nov. 27, 1995;

Breeden, Richard C. Coopers & Lybrand; Richard C. Breeden & Co., TO: Aug. 6, 1993; Jul. 7, 1995; Oct. 5, 1995; Apr. 15, 1996; Nov. 5, 1996; Nov. 6, 1996; Jul. 28, 2000;

Brennan, John J. Vanguard Group, FROM: May 9, 1996; Apr. 7, 1998; TO: Jun. 5, 1996; Apr. 23, 1998; Oct. 13, 2000; Jan. 29, 2001;

Brennan, John C. Vanguard Group, TO: Apr. 17, 1998;

Brennan, Ursula, TO: Apr. 20, 1995

Brademas, John New York University - President Emeritus, FROM: Apr. 23, 1999; TO: May 18, 1999;

Bradford, J.C. J.C. Bradford & Co., TO: Aug. 23, 1995

Bradley, Harold S. American Century, TO: Oct. 15, 1999;

Brady, M. Jane Office of Attorney General, DE, FROM: Sep. 25, 1997; TO: Oct. 16, 1997;

Brakatselos, George Bond Market Trade Association - Municipal Securities Division, TO: Jan. 9, 1997;

Braun, David B. US SEC, TO: May 7, 1996

Bredesen, Philip Mayor, Nashville, TN, TO: Aug. 21 1995

Breuer, Rolf Deutsche Bank AG, Germany, TO: Dec. 24, 1998;

Breyer, Stephen G. US Supreme Court, TO: Oct. 5, 1998;

Brickman, Mark US SEC - Web Development, TO: Sep. 29, 1995

Bridger, Jeffrey DLS Group, Inc., TO: Feb. 17, 1995

Brill, Jesse M. Corporate Counsel, FROM: Mar. 7, 1996; TO: Mar. 22, 1996;

Brinkley, James W. Legg Mason Wood Walker, Inc., FROM: Jul. 27, 2000; TO: Aug. 15, 2000;

Brittan, Leon UBS Warburg, UK, TO: Jan. 29, 2001;

Broadnax, Walter D. American University - School of Public Affairs, FROM: Aug. 16, 2000; TO: Nov. 2, 2000;

Brodkin, A. Keith Massachusetts Financial Services, FROM: Jul. 3, 1997; TO: Aug. 26, 1997;

Brodsky, William J. Chicago Mercantile Exchange; Chicago Board Options Exchange, FROM: Aug. 6, 1993; May 3, 1995; Jun. 21, 1995; Nov. 10, 1995; Mar. 20, 1998; Sep. 28, 1999; Oct. 7, 1999; Dec. 6, 1999; Jul. 31, 2000; TO: Aug. 23, 1993; May 22, 1995; Jul. 17, 1995; Sep. 13, 1995; Nov. 30, 1995; Jul. 29, 1997; Jan. 28, 1998; May 8, 199

Brody, Christopher W. E.M. Warburg, Pincus & Co., Inc., FROM: Jul. 17, 1996; TO: Jul. 31, 1996;

Bromark, Raymond, TO: May 11, 1998;

Bronstein, Louis, TO: Apr. 20, 1995

Brooks, E. R. Central and South West Corp., TO: Dec. 5, 1997

Brooks, Russell J. Market Profile Theorems, Inc., FROM: Mar. 29, 1995; TO: Apr. 18, 1995

Brophy, Mary Alice Dain Bosworth Inc., TO: Feb. 17, 1995

Brophy, Raymond C. Judiciary Plaza Limited Partnership, FROM: Apr. 13, 1998; TO: Apr. 15, 1998;

Brotbaker, Teri A. US SEC - Northeast Regional Office, TO: Feb. 24, 1995

Brown, David A. Ontario Securities Commission, Canada,
TO: Mar. 3, 1999; Nov. 27, 2000;

Brown, George E., Jr. US House of Representatives, FROM:
Oct. 10, 1996; Dec. 10, 1997; TO: Dec. 10, 1996; Jan. 20,
1998;

Brown, Janet H. Commission on Presidential Debates,
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Brown, John W. Stryker Corporation, FROM: Sep. 3, 1996;

Brown, Ronald H. US Department of Commerce, TO: Mar.
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Brown, Sherrod US House of Representatives, FROM: Oct.
10, 1996; TO: Dec. 10, 1996;

Brown, Stephen L. John Hancock Mutual Life Insurance
Company, FROM: Apr. 3, 1996; TO: Mar. 2, 1995; Apr. 20,
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Brownback, Sam US Senate, TO: Nov. 20, 1997;

Brubaker, Matthew S. Boy Scouts of America, TO: Jul. 17,
1998;

Brundisi, Geraldine M., TO: Aug. 12, 1993

Bruns, Hans-Georg Daumier-Benz AG, FROM: Nov. 15,
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Bryan, John H. Sara Lee Corporation, FROM: Feb. 4, 2000;
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Bryan, Richard US Senate, FROM: Apr. 21, 1995; TO: May
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Bryant, John US House of Representatives, TO: Mar. 27,
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Bryant, Keith, Jr. Institute of Management Accountants,
FROM: Mar. 25, 1998; TO: Apr. 16, 1998;

Buchalter, Stuart D. Buchalter, Nemer, Fields & Younger,
FROM: Jan. 29, 1996; TO: Feb. 16, 1996;

Buckham, Rod The PatriotMini Storage, Inc., FROM: [Apr.
10], 1998; TO: Apr. 27, 1998;

Budge, Hamer H., FROM: Feb. 22, 1999; TO: Oct. 5, 1995;
Nov. 5, 1996 (filed under Oct. 28, 1997); Oct. 28, 1997;
Mar. 9, 1999;

Buesinger, Ronald E. A.G. Edwards & Sons, Inc., TO: Feb.
17, 1995; Apr. 26, 1995

Buffett, Warren E. Bershire Hathaway, Inc., FROM: Aug. 21,
1995; Mar. 29, 1999; Aug. 7, 2000; Oct. 31, 2000; TO: May
1, 1995; Sep. 13, 1995; Feb. 10, 1997; Aug. 25, 1997; Jun.
23, 1998; Apr. 5, 1999; Apr. 12, 1999; Aug. 21, 2000;

Bumpers, Dale US Senate, FROM: Jul. 14, 1993 (Mary Shapiro); TO: Aug. 3, 1993

Burdick, Brad Internet Multicasting Service, TO: Oct. 10, 1995

Burnett, Robert US SEC - Division of Corporation Finance, TO: Oct. 11, 1995

Burnham, Christopher B. Treasurer, CT., FROM: Aug. 21, 1995; TO: Sep. 21, 1995

Burnham, I. W. Burnham Asset Management Corp., FROM: Oct. 9, 1995; TO: Oct. 25, 1995;

Burnham, I. W., II Burnham Securities, Inc., FROM: May 31, 1996; Aug. 11, 1999; TO: Jun. 13, 1996; Sep. 2, 1999

Burson, Charles Office of Vice-President, USA, TO: Apr. 29, 1998;

Burstein, Daniel Blackstone Group, TO: Mar. 26, 1996;

Burton, Dan US House of Representatives, TO: Mar. 13, 1998; Jul. 20, 1998; Jan. 4, 1999; Mar. 3, 2000; Aug. 22, 2000;

Busch, Cheryl Charlie National Association of Securities Dealers, TO: Feb. 17 1995; Aug. 24, 1995

Bush, George H. President, USA, TO: Nov. 24, 1998;

Butler, Jonathan US SEC - Operations, TO: Sep. 29, 1995

Butler, Saumel C. Cravath, Swaine & Moore, TO: Feb. 27, 1998;

Butler, Stephen KPMG, LLP, TO: Oct. 3, 2000; Nov. 27, 2000; Jan. 29, 2001; Jan. 29, 2001;

Butowsky, David M. Gordon Altman Butowsky Weitzen Shalov & Wein, TO: Mar. 16, 1999;

Byerly, Thomas J. Franklin Financial Services Corporation, TO: Mar. 2, 1995; Apr. 20, 1995

Byrne, Leslie L. White House - Special Assistant to the President, FROM: Mar. 26, 1997; TO: Apr. 21, 1997;

Burnes, Nanette Business Week, TO: Apr. 15, 1999;

Caccese, Michael S. Association for Investment Management and Research, FROM: Oct. 27, 1995; Nov. 13, 1995; May 13, 1996; Oct. 7, 1996; Mar. 26, 1997; TO: Oct. 3, 1995; Nov. 8, 1995; Nov. 27, 1995; Mar. 6, 1996; Jul. 18, 1996; Oct. 29, 1996; Apr. 23, 1997;

Cacheris, Elaine M. US SEC - Pacific Regional Office, TO: Feb. 27, 1995; Dec. 30, 1996;

Cadigan, Patrick F. Gateway Communications, Inc., FROM:
Aug. 5, 1993; TO: Aug. 25, 1993

Cafardi, Nicholas P. Duquesne University School of Law,
TO: Dec. 20, 2000;

Cafferty, Thomas D. Cafferty-Commercial Real Estate
Service, FROM: Apr. 6, 1998; TO: Apr. 15, 1998;

Calahan, Walter P. Walter P. Calahan Photography, Inc.,
FROM: Dec. 13, 2000 (Ullman, Chris); TO: Dec. 19, 2000;

Caldwell, Jacqueline H., FROM: Sep. 15, 1995; TO: Sep. 22,
1995

Calello, Paul CSFP Capital, Inc., TO: Apr. 10, 1997;

Calfas, John A., FROM: Aug. 24, 1993; TO: Sep. 13, 1993

Callaway, Howard Callaway Gardens, FROM: Mar. 20, 1997
(Filed under Scardino, Jennifer, Apr. 6, 1997)

Cameron, Alan Australian Securities and Investment
Commission, Australia, FROM: Dec. 2, 1996; Sep. 28, 1998;
TO: May 28, 1996; Dec. 26, 1996; Jan. 22, 1997; Nov. 18,
1997; Oct. 26, 1998; Nov. 19, 1998; Mar. 3, 1999;

Cameron, Edward L. PriceWaterhouseCoopers, LLP, TO:
Mar. 16, 1999;

Campbell, Robert H. Sun Company, Inc (Sunoco), FROM:
Mar. 26, 1998; TO: Apr. 14, 1998;

Campbell, Tom US House of Representatives, FROM: May
20, 1996; TO: Jun. 13, 1996; Nov. 18, 1997;

Canaday, Lemuel US SEC, TO: Sep. 29, 1995

Canadell, Eudald International Organization of Securities
Commissions, Canada; MEFF Renta, Spain, FROM: Jul. 8,
1997; Feb. 15, 1999; TO: Feb. 1995; Apr. 5, 1996; Aug. 12,
1997; Aug. 13, 1997; Jul. 23, 1998; Mar. 17, 1999;

Canady, Lemuel L. US SEC - Desktop Publishing, TO: Oct. 6,
1997;

Candela, Stephen L. US SEC - Philadelphia Office, TO: Sep.
8, 2000;

Cannata, Salvator Department of Banking, CT - Division of
Securities, TO: Feb. 17 1995

Canseco, Leo Certified Financial Planner Board of
Standards, TO: May 14, 1998;

Capillo, Felisa, FROM: Mar. 8, 1996; TO: Mar. 13, 1996;

Capone, Richard Warburg Dillion Read, TO: Jan. 5, 1999;

Cardinali, Joseph L., TO: Apr. 20, 1995

Cardozo, Michael A. Association of the Bar of the City of New York, TO: Dec. 31, 1996; Aug. 29, 1997;

Carey, Gordon Towers Perrin, TO: May 1, 1995

Carey, Paul White House, FROM: Dec. 10, 1996

Carlson, James B. Mayer, Brown & Platt, FROM: Dec. 31, 1997; TO: Jan. 21, 1998;

Carlson, JoEllen New York Stock Exchange, TO: Feb. 17 1995

Carlson, Tim Boy Scouts of America, FROM: Feb. 10, 1998 (filed under Mar. 24, 1998)

Carlucci, Frank C. Carlyle Group, TO: May 31, 1995; Jun. 7, 1995; Apr. 22, 1999; Jan. 29, 2001;

Carman, Gregory W. US Court of International Trade, TO: Jul. 19, 1998;

Carmichael, Douglas R. CUNY - Baruch College, TO: Nov. 27, 2000;

Carney, William J. Emory University, FROM: Jul. 2, 1993; TO: Aug. 16, 1993

Carpenter, Edmund M. General Signal Corporation, TO: May 1, 1995

Carpenter, Keith US SEC, TO: May 3, 1995

Carpenter, Michael A. Salomon Smith Barney Holdings, Inc., TO: Nov. 23, 1998; Aug. 4, 1999;

Carroll, Lawrence P. Alaska Division of Banking, Securities and Corporation, TO: Apr. 20, 1995

Carroll, Thomas J. Prudential Insurance Company of America, FROM: Oct. 21, 1999; TO: Nov. 22, 1999;

Carson, Julia US House of Representatives, FROM: Nov. 20, 1997; Nov. 20, 1997; May 9, 2000; TO: Jan. 20, 1998 (2); Jun. 20, 2000;

Carswell, Robert Shearman & Sterling, TO: Nov. 6, 1996

Carter, Marshall N. State Street Bank & Trust Co., TO: Dec. 2, 1998;

Case, Steve America Online, TO: Dec. 23, 1998;

Cassidy, J. B. North American Securities Administrators Association, Inc. - Investment Companies Sales Practice Committee, TO: Apr. 20, 1995

Castillo, Eugenio, TO: Apr. 20, 1995

Castine, Michael P. Highland Search Group, LLC, FROM: Feb. 4, 1997; TO: Feb. [12], 1997

Castle, John K. Castle Harlan, Inc., FROM: Dec. 16, 1997; Nov. 11, 1998; Dec. 8, 1998; TO: Mar. 28, 1996; Dec. 19, 1996; Jan. [5], 1998; Nov. 18, 1998; Dec. 21, 1998;

Catell, Robert B. Brooklyn Union, FROM: Aug. 1, 1995

Catlett, Jason Junkbusters, Inc., FROM: May 9, 2000; TO: Jun. 20, 2000;

Caughey, Robert M., TO: Apr. 20, 1995

Cavahagh, Richard E. Conference Board, FROM: Oct. 13, 1997; TO: Oct. 30, 1997; Jan. 29, 2001;

Cavicke, David US House of Representatives, TO: Mar. 5, 1997;

Cayne, James E. Bear, Stearns & Co, Inc., FROM: Aug. 14, 1995; Apr. 22, 1996; Mar. 3, 1997; Jun. 2, 1999; TO: Mar. 2, 1995; Mar. 27, 1995; Apr. 20, 1995; Jun. 7, 1995; May 8, 1996; Jan. 30, 1997; Mar. 21, 1997; Apr. 10, 1997; Oct. 17, 1997; Oct. 23, 1997; Apr. 8, 1998; Oct. 22, 1998; Nov. 23, 1

Cella, Eugene Office of the Secretary of State, NC, TO: Apr. 21, 1995

Cha, Laura Securities and Futures Commission, Hong Kong, TO: Aug. 9, 2000;

Chabot, Steve US House of Representatives, FROM: May 4, 1998; TO: May 11, 1998;

Chadbourne, Sally US House of Representatives, TO: Dec. 11, 1995

Chafee, John H. US Senate, FROM: Feb. 1, 1995 TO: Feb. 13, 1995

Chalmers, Geoffrey T. Commonwealth Equity Services, Inc., TO: Apr. 20, 1995

Chalsty, John S. Donaldson, Lufkin & Jenrette Securities Corp., TO: Mar 2, 1995; Mar. 27, 1995; Apr. 20, 1995; Jun. 7, 1995; Aug. 15, 1997; Oct. 23, 1997; Apr. 8, 1998; Jan. 29, 2001;

Chamberlain, Wendy US Embassy, Malaysia, FROM: Apr. 27, 1995 (See Carlucci, May. 31); TO: May 5, 1995; May 12, 1995;

Chan-Fishel, Michelle Friends of the Earth, TO: Apr. 14, 1998;

Chapman, Alger B. Chicago Board Options Exchange, FROM: Nov. 15, 1995; Feb. 5, 1997; TO: Jan. 12, 1995; Feb. 17, 1995; Jul. 7, 1995; Sep. 13, 1995; Dec. 7, 1995; Feb. 14, 1997

Chapman, Craig Brown and Wood, Japan, FROM: Feb. 9, 1995; Jun. 6, 1995; TO: Feb. 27, 1995; Jun. 20, 1995

Chapman, Debra US SEC - Procurement, TO: Sep. 29, 1995

Chapman, Jim US House of Representatives, TO: Mar. 27, 1995

Charles, Jim Charles Schwab & Co, Inc., TO: Feb. 17 1995

Chaves, Fred L. US SEC - Central Regional Office, TO: May 14, 1998;

Cheney, Richard B. Vice President Elect, USA, TO: [n.d.] (fragment)

Chernow, Ron Wall Street Journal, TO: Nov. 12, 1999;

Childers, Frank Securities Division, WV, TO: Apr. 21, 1995

Chorba, Timothy A. US Embassy, Singapore - Ambassador, TO: May 5, 1995

Chretien, Raymond Ambassador to USA, Canada, FROM: Dec. 17, 1999; TO: Jan. 13, 2000;

Christesen, Donald J., TO: Apr. 20, 1995

Christopher, Warren US Department of State, TO: [Mar. 14], 1995; Nov. 5, 1996

Chubais, Anatoly B. Russian Federation on Securities and Stock Market, Moscow, Russia, FROM: May 18, 1995; Nov. 3, 1995; TO: Jun. 20, 1995; Nov. 27, 1995; Dec. 4, 1995

Churchill, Buntzie Ellis World Affairs Council of Philadelphia, FROM: Jan. 5, 1996; TO: Feb. 5, 1996

Cieplensky, Bette New York Stock Exchange, TO: Feb. 17 1995

Cinman, Andrew Jason MacKenzie Securities, Inc., FROM: Sep. 16, 1993; TO: Sep. 21, 1993

Clapp, David C. Goldman Sachs Group, L.P., FROM: Apr. 21, 1997; TO: Jun. 12, 1997;

Clapp, Priscilla US Embassy, Republic of South Africa, TO: Mar. 7, 1995

Clark, Howard L. Lehman Brothers Holdings, Inc., FROM: Jul. 27, 2000; TO: Aug. 15, 2000;

Clark, Peter International Organization of Securities Commissions, Canada, TO: Apr. 3, 2000;

Clarke, Alvaro Superintendencia de Valores y Seguros, Chile, TO: Mar. 21, 2000;

Clarke, Henry D. Clarke Ice Cream Co., TO: Dec. 19, 1996;

Clarke, Robert L. Bracewell & Patterson, LLP, FROM: Feb. 18, 1999; TO: Apr. 1, 1999;

Clarkson, James US SEC - Division of Enforcement, TO: May 14, 1998;

Cleary, Kevin F., FROM: Apr. 2, 1998; TO: Apr. 27, 1998;

Cleland, Max US Senate, FROM: Jun. 20, 1997; Oct. 22, 1997; TO: Jul. 21, 1997; Nov. 14, 1997; Feb. 12, 1998;

Clement, Bob US House of Representatives, TO: Aug. 21 1995

Clifton, Lance A. US SEC - Northeast Regional Office, TO: Feb. 24, 1995

Clinger, William F., Jr. US House of Representatives, FROM: Feb. 6, 1996; Dec. 20, 1995; Jun. 17, 1996; TO: Feb. 17, 1995; Aug. 10, 1995; Nov. 15, 1995; Jan. 3, 1996; Feb. 9, 1996; Feb. 20, 1996; Jun. 3, 1996; Jul. 8, 1996; Oct. 2, 1996

Clinton, William J. President, USA, FROM: Apr. 1, 1994 (personal file); Jan. 5, 1995; Feb. 20, 1998; TO: Jan. 6, 1995; May 9, 1995; Jun. 16, 1995; Dec. 29, 1995; Feb. 9, 1996; Apr. 15, 1996 (fax of letter dated Dec. 19, 1995); Jun. 19, 1996; Jul. 21, 1997 (Owens, Helen); Dec. 22, 1997; May

Clurman, David Phillips, Nizer, Benjamin, Krim & Ballon, FROM: Apr. 13, 1995; TO: May 1, 1995; Oct. 16, 1998;

Cloonan, James B. American Association of Individual Investors, TO: Apr. 20, 1995; May 2, 1996

Coates, Joseph M. US SEC - Print Shop, TO: Oct. 6, 1997;

Coburn, Tom US House of Representatives, to: Dec. 4, 1995;

Cochran, Martha American Bar Association, TO: May 14, 1998;

Cochran, Thad US Senate, TO: Nov. 20, 1997; Nov. 24, 1998;

Coelho, Tony, FROM: Feb. 23, 1995;

Coffee, John C. Columbia University Law School, TO: Apr. 26, 1995; Mar. 16, 1999; Nov. 27, 2000;

Cohen, Charles Creative BioMolecules, TO: May 1, 1995

Cohen, Saul S. Rosenman & Colin, FROM: Feb. 14, 1995; TO: Mar. 6, 1995

Cohen, Sheldon S., FROM: May 3, 1996

Cohen, Sylvan M. Drinker Biddle & Reath LLP; Pennsylvania Real Estate Investment Trust, FROM: Feb. 10, 1998; Jan. 4, 2000; TO: Feb. 13, 1998; [Jan. 5], 2000;

Cohen, William S. US Senate, TO: Mar. 16, 1995

Cohn, Robert Octel Corporation, FROM: Apr. 16, 1997; TO: May 8, 1997;

Coia, Arthur Laborers' International Union of North America, FROM: May 9, 1995; TO: May 31, 1995

Cole, Thomas A. Sidley & Austin, TO: Apr. 30, 1998;

Coleman, John A. Boardroom Consultants, FROM: Mar. 26, 1999; TO: Apr. 13, 1999;

Coleman, Ronald D. US House of Representatives, TO: Mar. 27, 1995

Coleman, William T. O'Melveny & Myers, TO: Nov. 18, 1997;

Colker, David Cincinnati Stock Exchange, FROM: Jun. 10, 1998; TO: Oct. 25, 1995; Mar. 7, 1997; Jun. 30, 1998;

Collins, Cardiss US House of Representatives, TO: Aug. 10, 1995

Collins, Susan M. US Senate, FROM: Jun. 20, 1997; Oct. 22, 1997; TO: Jul. 21, 1997; Nov. 14, 1997; Feb. 12, 1998; Mar. 26, 1999; Sep. 21, 1999 (2)

Colin, Justin S. Smith Barney Inc., FROM: May 20, 1999; TO: May [26-30], 1999;

Colish, Faith Faith Colish, PC, TO: Mar. 16, 1999;

Colodner, Michael Office of Court Administration, TO: Feb. 13, 1998;

Colonna, Anthony New York Stock Exchange, TO: Feb. 17, 1995

Colson, Robert H. The CPA Journal, FROM: Dec. 20, 2000

Colwell, Marcus Goldman Sachs & Co., TO: Dec. 23, 1996;

Combest, Larry US House of Representatives, FROM: Jan. 20, 2000; TO: Mar. 2, 2000;

Conaway, Michael State Board of Public Accountancy, TX, TO: Nov. 27, 2000;

Concannon, Christopher R. US SEC - Division of Market Regulation, TO: Dec. [6], 1995;

Condit, Philip M. Boeing Company, FROM: Aug. 7, 2000; TO: Oct. 4, 2000;

Condon, Charles M. Office of the Attorney General, NC, FROM: Sep. 25, 1997; TO: Oct. 16, 1997;

Condon, Kevin P. Baltimore-Washington Financial Advisors, Inc., FROM: Nov. 17, 1995; TO: Jan. 2, 1996

Connelly, Terry WJLA-TV 7, TO: Jul. 8, 1998;

Conroy, Patrick E. US SEC - Office of Economic Analysis,
TO: Mar. 29, 1999;

Contreras Cabezas, Jose Louis Superintendencia de
Pensiones, Valores y Seguros, Bolivia, FROM: Sep. 6, 1999;
TO: Sep. 29, 1999

Conway, Michael A. KPMG Peat Marwick, FROM: May 10,
1995; TO: May 22, 1995; Nov. 30, 1998 (Turner, Lynn);
Dec. 9, 1999 (Turner, Lynn - filed under Dec. 21, 1999)

Conyers, John, Jr. US House of Representatives, FROM: Oct.
10, 1996; Nov. 20, 1997; TO: Dec. 10, 1996; Jan. 20, 1998

Cook, G. Bradford Marketing & Management Information,
Inc., FROM: Sep. 28, 1999; TO: Oct. 5, 1995; Dec. 19, 1995;
Dec. 18, 1996; Nov. 5, 1996; Oct. 25, 1999; Dec. 13, 1999;

Cook, J. Michael Deloitte and Touche LLP; Financial
Accounting Foundation, FROM: Feb. 3, 1995; Jun. 6, 1995;
May 20, 1996 (Roy, P. Norman); May 20, 1996; Jan. 2,
1997; TO: Feb. 22, 1995; Apr. 6, 1995; Jun. 21, 1995; Apr.
22, 1996; May 21, 1996; Jan. 22, 1997; Nov. 27, 2000;

Cooper, Michael A. Association of the Bar of the City of
New York, FROM: Feb. 18, 1999; TO: Feb. 26, 1999;

Cooper, Sarah M. Sarah Cooper Associates, Inc., FROM: Jun.
13, 1996; TO: Jul. 31, 1996;

Copeland, James E., Jr. Deloitte and Touche LLP, TO: Nov.
27, 2000;

Corrigan, E. Gerald Goldman Sachs & Co.; Counterparty
Risk Management Policy Group (CRMPG), FROM: Jun. 21,
1999; TO: Apr. 20, 1995; Jul. 13, 1999;

Corry, Charles USX, TO: Apr. 6, 1995

Corso, Gregg US SEC, TO: Nov. 24, 1998;

Cortese, Richard Securities Division, VT, TO: Apr. 21, 1995

Corwin, Scott US Senate, TO: Dec. 11, 1995

Corzine, Jon Goldman Sachs & Co., FROM: Mar. 7, 1995;
Jul. 13, 1995; Dec. 23, 1996; TO: Feb. 17, 1995; Mar 2,
1995; Mar. 27, 1995; Apr. 20, 1995; Jun. 7, 1995; Jul. 31,
1995; Feb. 11, 1997; Apr. 10, 1997; Aug. 15, 1997; Oct. 17,
1997; Apr. 8, 1998; Jul. 21, 1998; Oct. 22, 1998; Nov. 23

Costas, Raphael R., Jr. National Federation of Municipal
Analysts, TO: Jan. 9, 1997;

Costello, Jerry F. US House of Representatives, FROM: Oct.
10, 1996; TO: Dec. 10, 1996

Costello, John J. Fairfield Financial Planning, TO: Apr. 20,
1995

Costello, Peter Treasurer, Australia, TO: Aug. 9, 2000

Cotting, James C. Navistar International Transportation Corp., TO: May 1, 1995

Cowan, Thomas Securities Division, WY, TO: Apr. 21, 1995

Cox, Christopher US House of Representatives, FROM: Jan. 10, 1995; Aug. 27, 1995; Apr. 10, 1996; May 20, 1996; TO: Feb. 10, 1995; Oct. 11, 1995; Jul. 22, 1996;

Crandall, Robert L. American Airlines, TO: Sep. 11, 1997;

Crane, Edward Cato Institute, TO: Sep. 13, 1995

Crane, Stacey Municipal Treasurers' Association, TO: Jan. 9, 1997;

Crapo, Michael D. US House of Representatives, TO: Feb. 18, 1997; Mar. 5, 1997;

Crawford, Denise Voigt State Securities Board, TX (Commissioner), TO: Apr. 21, 1995; Aug. 9, 1995

Crepin, Carmen Commission des valeurs mobilières du Quebec, Canada, TO: Aug. 26, 1999;

Creque, John B., FROM: Mar. 19, 1996; TO: Apr. 23, 1996

Crespo, Hilda ASPIRA, TO: May 14, 1998;

Critchfield, Jack Florida Progress Corp., TO: Apr. 6, 1995

Critchlow, Paul W. Merrill Lynch & Co., Inc., FROM: Feb. 5, 1998; TO: Mar. 4, 1998; Apr. 27, 1998;

Crockett, Andrew D. Bank for International Settlements, FROM: Oct. 10, 1996; TO: Dec. 20, 1996; Jan. 19, 1999; Sep. 28, 1999

Croftwell, James B. Boston Stock Exchange, Inc., TO: Mar. 7, 1997;

Croissier Batista, Luis Carlos Comision Nacional del Mercado de Valores, Spain, TO: May 7, 1996

Crongard, A. B. Alex Brown & Sons, Inc., FROM: Jul. 27, 1995 (filed under Grasso, Jul. 31, 1995)

Cross, Meredith US SEC, TO: Jun. 19, 1995;

Cross, Terry, TO: Apr. 20, 1995

Crovitz, Gordon Dow Jones & Co., Inc., TO: Oct. 27, 1998;

Crowell, Donald W. Crowell, Weedon & Co., TO: Apr. 20, 1995

Crowley, Joseph US House of Representatives, FROM: Jan. 20, 2000; TO: May 19, 2000;

Cubin, Barbara US House of Representatives, TO: Feb. 18, 1997

Curran, J. Joseph, Jr. Office of the Attorney General, MD, FROM: Sep. 25, 1997; TO: Oct. 16, 1997;

Curtis, Charles B. US Department of Energy, FROM: Feb. 10, 1997; TO: Feb. 21, 1997

Cusick, Timothy P. Prudential Securities, Inc., FROM: Apr. 1, 1998; Dec. 3, 1998; TO: Apr. 30, 1998; Dec. 16, 1998;

Cutler, Stephen M. US SEC - Division of Enforcement, TO: Oct. 14, 1999;

Czinsky, Michael Morgan Stanley & Co., Inc., TO: Sep. 13, 1995

Dahlberg, A. W. Southern Company, TO: Dec. 5, 1997

Daley, Richard M. Mayor, City of Chicago, IL, FROM: Mar. 18, 1997; TO: Mar. 26, 1997;

Daley, William M. Secretary of Commerce, FROM: Aug. 25, 1999; TO: Sep. 29, 1999

Dallara, Charles H. Institute of International Finance, Inc., FROM: Aug. 7, 1995; Oct. 6, 1995; Apr. 18, 1996; Sep. 12, 1996; Apr. 4, 1997; Apr. 21, 1997; May 15, 1997; Sep. 28, 1998; Apr. 12, 1999; Apr. 16, 1999; TO: Aug. 29, 1995; Oct. 31, 1995; May 9, 1996; Oct. 16, 1996; Apr. 30, 1997; May 28, 1997; Oct. 30, 1

Dalton, Gloria US SEC - Office of International Affairs, TO: Nov. 16, 1998;

Daly, George G. New York University Leonard N. Stern School of Business, TO: May 2, 1995

D'Amato, Alphonse US Senate, FROM: Feb. 10, 1995; Apr. 28, 1995; Jul. 17, 1995; Oct. 26, 1995 (!!Whitewater!); Nov. 14, 1995; Jun. 19, 1996; Dec. 3, 1996; Feb. 26, 1997; Feb. 27, 1997; Apr. 22, 1997; Jul. 31, 1997; Mar. 24, 1998; Mar. 31, 1998; TO: Jan. 17, 1995; Mar. 1, 1995; Apr.

Danas, George C. Montano Securities Corp., TO: Apr. 20, 1995

Dannhauser, Stephen J. Weil, Gotshal & Manges, LLP, FROM: Jul. 15, 1996 (re: Ira Millstein);

D'Archangelo, [Col.], TO: Jul. 25, 1997;

Dardaman, Chris J., Jr. Polstra & Dardaman, LLC, TO: May 14, 1998;

Dare, Edward Prudential Insurance Company of America, TO: Feb. 17 1995

Dasaro, Elena H.C. Wainright & Co, Inc., TO: Feb. 17 1995

Daschle, Thomas US Senate, FROM: Feb. 22, 1995; TO: Mar. 13, 1995 (Re: Ed. Rogers); Nov. 18, 1998; Jan. 29, 2001;

Dashefsky, Richard American Red Cross, FROM: Jun. 22, 1999; Jul. 31, 2000; TO: Jun. 25, 1999; Aug. 23, 2000;

David, Ruth ANSER, TO: Aug. 16, 1999;

Davidson, George A. Consolidated Natural Gas Company, TO: Dec. 5, 1997

Davidson, Ian B. National Association of Securities Dealers, TO: Sep. 5, 1995

Davies, Howard Financial Services Authority, UK, FROM: Jun. 17, 1998; TO: Jul. 9, 1998; Oct. 6, 1998; Oct. 20, 1998; Nov. 19, 1998; Feb. 19, 1999;

Davis, Andrew Chicago Stock Exchange Specialists, Inc., FROM: Jun. 10, 1998; TO: Jun. 30, 1998;

Davis, Danny K. US House of Representatives, FROM: Nov. 20, 1997; TO: Dec. 20, 1998;

Davis, Evelyn Y. Highlights and Lowlights, FROM: Apr. 14, 1997; TO: Apr. 24, 1997;

Davis, Jordan P. Morning Star Gallery, FROM: [Jul. 27, 1993]; TO: Sept. 15, 1993

Dean, James L. General Services Administration, TO: Jul. 28, 2000;

Dean, Lisa Free Congress Foundation, FROM: May 9, 2000; TO: Jun. 20, 2000;

Deane, Dorian, TO: Oct. 10, 1995

Dear, Christine US SEC - Division of Market Regulation, TO: Feb. 17 1995

Deardoff, John J. City Manager, Dodge City, KS, FROM: Mar. 31, 1995; TO: May 31, 1995

Debs, Richard A. Morgan Stanley & Co., Inc., FROM: Jul. 28, 1993; TO: Aug. 9, 1993

Davis, Marilyn B. National Association of Securities Dealers Regulation, Inc., TO: May 14, 1998;

Davis, Willie D. All Pro Broadcasting, TO: Mar. 16, 1999;

Dawson, John H. John Dawson & Associates, FROM: Dec. 2, 1996; TO: Dec. 12, 1996;

De Benedetti, Carlo Olivetti S.p.A., Italy, FROM: Dec. 18, 1995; TO: Jan. 16, 1996;

de Marez Oyens, Gerrit International Federation of Stock Exchanges, France, FROM: May 28, 1997; Oct. 23, 1997; TO: Jun. 4, 1997; Nov. 3, 1997;

de St. Paer, Jerry M. J.P. Morgan & Co., Inc., FROM: May 7, 1998; TO: May 27, 1998;

Deal, Nathan US House of Representatives, TO: Feb. 18, 1997

Dean, James F., TO: Apr. 20, 1995

Deering, Anthony W. Rouse Company, FROM: Mar. 29, 1996;

Deets, Horace B. American Association of Retired Persons, FROM: Dec. 19, 1994; May 28, 1999; TO: Jan. 11, 1995; Apr. 26, 1995; Mar. 6, 1996; Nov. 21, 1996; Jun. 16, 1999; Sep. 14, 2000; Sep. 15, 2000;

DeFazio, Peter A. US House of Representatives, FROM: Oct. 10, 1996; TO: Dec. 10, 1996

DeFeo, Philip D. Pacific Stock Exchange, TO: Oct. 1, 1999;

Degenhardt, Harold F. US SEC - Fort Worth District Office, FROM: Jun. 29, 2000; TO: Dec. 30, 1996; Aug. 26, 1999; Jul 5, 2000;

DeGette, Diana US House of Representatives, TO: Feb. 18, 1997; Mar. 5, 1997;

DeLacy, Kevin B. US SEC - Philadelphia Office, FROM: Jul. 27, 1993; TO: Sep. 13, 1993

Delahunt, William US House of Representatives, FROM: Nov. 18, 1997;

deLaurentis, Diana National Association of Securities Dealers, TO: Aug. 24, 1995

DeLay, Tom US House of Representatives, FROM: Sep. 26, 1996; TO: Mar. 27, 1995; Oct. 28, 1996; Dec. 24, 1996;

DeNunzio, Ralph D. Habor Point Associates, Inc., FROM: Jul. 27, 2000; TO: Aug. 15, 2000;

DePasquale, Nancy US SEC - Philadelphia Office, TO: Sep. 8, 2000;

Derieux, Samuel A. Deloitte and Touche LLP, TO: Apr. 20, 1995; May 2, 1996

Della Rosa, Joe Goldman Sachs & Co., TO: Oct. 14, 1999;

Dellums, Ronald V. US House of Representatives, FROM: Oct. 10, 1996; Nov. 20, 1997; Dec. 10, 1997; TO: Dec. 10, 1996; Jan. 20, 1998 (2);

DeMent, James H., Jr., TO: Apr. 20, 1995

Demmler, John H., TO: Dec. 27, 1995 (re: Demmler, Ralph)

Demmler, Ralph H. Reed Smith Shaw & McClay, FROM: Aug. 2, 1993; TO: Aug. 9, 1993, Oct. 5, 1995

DeMuro, David A. Lehman Brothers, Inc., TO: Feb. 17 1995

DeMuth, Christopher American Enterprise Institute, TO:
Sep. 15, 1995

Dandson, Joan, FROM: Sep. 3, 1996; TO: Sep. 25, 1996;

Daniels, George B. Supreme Court, New York, NY, TO: Dec.
13, 1995

Denham, Robert E. Munger, Tolles & Olson, TO: Mar. 16,
1999; Nov. 27, 2000;

Dennis, Kathleen Key Asset Management, Inc., TO: Mar. 16,
1999;

Dentzer, William T., Jr. Depository Trust Co., TO: Aug. 5,
1993

Desrosiers, Jason Boy Scouts of America, TO: Jan.14, 1998;

Deutsch, Peter US House of Representatives, TO: Feb. 18,
1997

Devonish, Mayleen US SEC, TO: May 3, 1995

Dewe, Jonathan Euromoney, FROM: Nov. 14, 1996; TO:
Dec. 3, 1996

Diamond, Stephen Department of Professional and Financial
Regulation, ME, TO: Apr. 21, 1995

[DiCatr], Martha, FROM: Oct. 14, 1996

Diaz Ortega, Enrique Comision Nacional Supervisor de
Empresas y Valores, Peru, FROM: Feb. 19, 1999 (Hidalgo,
Jesus Alvarado); TO: Apr. 27, 1999;

Dick, Donald W. EuroCapital Advisors, LLC, TO: Mar. 16,
1999;

Dickerson, W. Brinkley, FROM: Jul. 1, 1996; TO: Jul. 19,
1996;

Dickinson, Rogert University of Texas at Arlington, TX -
College of Business Administration, FROM: Apr. 6, 1998;
TO: Apr. 15, 1998;

Dierks, R.G., TO: Apr. 20, 1995

Dietrich, J. Richard US SEC - Office of Chief Accountant,
TO: May 22, 2000;

Dimon, James Travellers Group; Smith Barney, Inc.;
Sitigroup, Inc; Salomon Smith Barney, Inc.; Bank One Corp.,
TO: Jan. 30. 1997; Apr. 10, 1997; Aug. 15, 1997; Oct. 17,
1997; Apr. 8, 1998; Apr. 17, 1998; Oct. 22, 1998; Oct. 15,
1999; Jan. 29, 2001;

Dindoyal, S. Mauritius Stock Exchange Commission,
Mauritius, TO: May 8, 1997;

Dingell, John D. US House of Representatives, FROM:, 1993
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Individual dates of correspondence: [Aug.] 1993; Mar. 13, 1995; Jun. 12, 1995; May 23, 1995; Jul. [10], 1995; Jul. 17, 1995; Nov. 21, 1995; Feb. 26, 1996; May 15, 1996; Jul. 23, 1996; Sep. 20, 1996; Sep. 24, 1996; Sep. 25, 1996; Nov. 20, 1996; Nov. 21, 1996; Dec. 6, 1996; Feb. 6, 1997; Feb. 27, 1997; Apr. 8, 1997; Apr. 11, 1997; Apr. 15, 1997; Apr. 28, 1997; Apr. 29, 1997; May 23, 1997 (filed under Buffet, Warren, Aug. 25, 1997); May 27, 1997; Jun. 4, 1997; Jun. 12, 1997; Jun. 17, 1997; Aug. 7, 1997; Sep. 10, 1997; Dec. 12, 1997 (Hinchman, James); Feb. 11, 1998; Feb. 26, 1998; Feb. 27, 1997; Jun. 3, 1998; Sep. 29, 1998; Oct. 2, 1998; Oct. 14, 1998; Nov. 23, 1998; Apr. 27, 1999; Nov. 8, 1999; Jan. 5, 2000; Jan. 6, 2000; Feb. 9, 2000; Feb. 23, 2000; Jun. 8, 2000; Jun. 27, 2000; TO: Apr. 13, 1995; Jun. 28, 1995; Aug. 2, 1995; Aug. 10, 1995; Nov. 27, 1995; Jan. 19, 1996; Mar. 13, 1996; Jul. 22, 1996; Jul. 24, 1996; Sep. 25, 1996; Oct. 10, 1996; Oct. 17, 1996; Oct. 23, 1996; Dec. 24, 1996; Jan. 3, 1997; Jan. 21, 1997; Feb. 18, 1997; Feb. 25, 1997; Mar. 19, 1997; Apr. 15, 1997; May 2, 1997; May 13, 1997; May 19, 1997; May 29, 1997; May 30, 1997; Jun. 2, 1997; Jul. 7, 1997; Jul. 25, 1997; Aug. 18, 1997; Aug. 25, 1997; Sep. 25, 1997; Oct. 10, 1997; Oct. 15, 1997; Dec. 29, 1997; Feb. 9, 1998; Mar. 2, 1998; Mar. 13, 1998; Mar. 19, 1998; Jun. 15, 1998; Jun. 23, 1998; Sep. 28, 1998; Sep. 30, 1998; Oct. 7, 1998; Oct. 22, 1998; Dec. 11, 1998; Dec. 23, 1998; Mar. 31, 1999; May 3, 1999; May 14, 1999; Sep. 30, 1999; Oct. 22, 1999; Nov. 17, 1999; Dec. 17, 1999; Jan. 5, 2000; Feb. 7, 2000; Feb. 10, 2000; Feb. 16, 2000; Mar. 30, 2000; May. 11, 2000; Jul. 25, 2000; Oct. 10, 2000; Nov. 3, 2000; Dec. 4, 2000;

Dinkins, David N. Mayor, New York, NY, FROM: Dec. 16, 1993; TO: Feb. 27, 1998;

Dionne, Joseph L. McGraw-Hill, Inc., FROM: Aug. 16, 1993; TO: Aug. 25, 1993

Diver, Michael US SEC - Midwest Regional Office, TO: Apr. 15, 1999;

Dixon, Catherine US SEC - Division of Corporation Finance, TO: Aug. 28, 1998;

Dixon, Julian C. US House of Representatives, FROM: Nov. 20, 1997; Dec. 10, 1997; TO: Jan. 20, 1998 (20

Dobson, Michael Deutsche Bank AG, Germany, TO: Mar. 2, 1998

Dodd, Christopher J. US Senate, FROM: Sep. 8, 1993; Nov. 19, 1996; Dec. 3, 1996; Apr. 1, 1997; Apr. 25, 1997; May 30, 1997; Mar. 24, 1998; Mar. 24, 1999; May 24, 1999; TO: Aug. 10, 1995; Sep. 3, 1996; Dec. 18, 1996; Jan. 15, 1997; Apr. 15, 1997; May 5, 1997; Jun. 13, 1997; Sep. 8, 1997

Dolan, Ken WOR Radio Network, FROM: Apr. 18, 1997; TO: Jan. 12, 1995; May 2, 1997;

Doerr, L. John Kleiner Perkins Caufield & byers, FROM: Apr. 10, 1997; TO: May 2, 1997; Jun. 13, 2000;

Dolan, Daria WOR Radio Network, TO: Jan. 12, 1995

Dole, Robert US Senate, TO: Jan. 19, 1996;

Doll, Mark G. Northwestern Mutual Investment Services, TO: Apr. 20, 1995

Domenici, Pete V. US Senate, FROM: Nov. 28, 1995 (personal file); Sep. 25, 1997; Nov. 2, 1999; TO: Jan. 19, 1996; Oct. 6, 1997; Nov. 20, 1997; Nov. 17, 1999;

Domingues, Kenneth US SEC - Division of Investment Management, TO: Mar. 16, 1999;

Don, Michael E. Securities Investor Protection Corporation, FROM: Dec. 18, 1997; TO: Jan. 20, 1998;

Donaldson, William H. New York Stock Exchange; Aetna, Inc., FROM: May 26, 1995; TO: Feb. 17 1995; May 18, 1995; Jan. 29, 2001;

Donlan, Thomas G. Barron's, TO: Dec. 29, 1999;

Donovan, Thomas R. Chicago Board of Trade, FROM: Feb. 6, 1995; Feb. 18, 1997; TO: Feb. 24, 1995; Mar. 4, 1997;

Dooley, Calvin US House of Representatives, FROM: Jan. 20, 2000; TO: May 19, 2000;

Dorgan, Byron L. US Senate, FROM: Oct. 19, 1995; TO: Nov. 13, 1995; Dec. 5, 1995

Dorillo, Patricia New York Stock Exchange, TO: Feb. 17 1995

Dorsen, Norman Layers Committee for Human Rights, FROM: Jan. 17, 1997; TO: Jan. [29], 1997

Dotson, Betsy Government Finance Officers Association, FROM: Nov. 22, 1995; TO: Jan. 2, 1996

Doty, James R. Baker & Botts, TO: Nov. 6, 1996; Aug. 29, 1997;

Dove, Roger M., FROM: Jan. 4, 1997; TO: Jan. 31, 1997

Downey, Robert N. Goldman Sachs & Co., FROM: Jul. 27, 2000; TO: Aug. 15, 2000;

Doyle, Joan M. Association of Publicly Traded Companies,
FROM: Apr. 27, 1995; TO: May 1, 1995

Doyle, John L., FROM: Jun. 7, 1999; Aug. 12, 1999; Oct.
26, 1999; TO: Jul. 21, 1999; Sep. 17, 1999; Nov. 30, 1999;

Dozen, Masahiro Daiwa Securities Co., Ltd., Japan, FROM:
Jul. 30, 1993; TO: Aug. 13, 1993

Dragoo, Darrell Chicago Board Options Exchange, TO: Feb.
17 1995

Draper, E. Linn American Electric Power, TO: Dec. 5, 1997

Draper, Margaret New York Stock Exchange, TO: Mar. 17,
1994

Dreier, David US House of Representatives, FROM: Jul. 27,
2000; Dec. 5, 2000; TO: Aug. 16, 2000; Jan. 5, 2001;

Drexler, Millard S. GAP, FROM: Aug. 18, 1993; TO: Aug.
27, 1993

Driscoll, Dawn-Marie Driscoll Associates, FROM: Feb. 25,
1999; TO: Mar. 25, 1999;

Drummer, Dorothy J. Dorothy Drummer & Associates,
FROM: Mar. 23, 1994

Drysdale, Robert H. Municipal Securities Rulemaking Board,
FROM: Mar. 15, 1995; TO: Jan. 12, 1995; Feb. 17 1995;
Apr. 11, 1995

Dubberly, Paula US SEC - Division of Corporation Finance,
TO: Oct. 11, 1995

Dubois, Joshua H. Boy Scouts of America, TO: Jul. 17,
1998;

Dudek, Paul M. US SEC - Division of Corporation Finance,
TO: Oct. 1, 1998;

Duea, Bradford D. San Diego Law Review; University of
San Diego School of Law, TO: Dec. 14, 1995 (Nicholas
Balamaci)

Duin, Steven M., FROM: Dec. 11, 1996; TO: Dec. 12, 1996;

Dunbar, Amy K. National Association of Bond Lawyers,
FROM: Feb. 21, 1996; TO: Mar. 4, 1996

Duncan, Charles White House - Special Assistant to the
President, TO: Jan. 7, 1997 (RE: Moldaw, Stewart);

Duncan, Douglas County Executive, Montgomery County,
MD, FROM: May 9, 1995; TO: May 24, 1995

Duncan, Jeff US House of Representatives - Office of Rep.
Markey, TO: Mar. 5, 1997;

Dunlap, Albert J. Scott Paper Company, TO: Apr. 6, 1995

Dunn, Martin US SEC - Division of Corporation Finance, TO:
Oct. 11, 1995; Apr. 1, 1998;

Duray-Bito, Siegfried P. Schneider Securities, Inc., TO: Apr.
20, 1995

Durbin, Richard J. US Senate, FROM: Mar. 14, 2000; TO:
Nov. 20, 1997; Apr. 17, 2000;

Durrell, Richard J., TO: Nov. 18, 1997;

Duvall, Steven C. US SEC, TO: May 7, 1996

Dwyer, Carrie Charles Schwab & Co, Inc., TO: Mar. 10,
1998; Aug. 31, 1998;

Dyer, James W. US Senate Committee on Appropriations,
TO: Oct. 19, 2000;

Dykes, R. M. Bell South Corporation, FROM: Dec. 16, 1996;
TO: Feb. 3, 1997

East, Emelie US Senate, TO: Dec. 11, 1995

Eastman, Daniel Commissioner of Securities, WI, TO: Apr.
21, 1995

Echaveste, Maria White House - Office of Public Liaison,
TO: May 14, 1998;

Eckard, George US SEC - Procurement, n.d.

Edwards, Benjamin F., III A.G. Edwards & Sons, Inc., FROM:
Mar. 7, 1995; Nov. 21, 1995; May 4, 1999; [Aug-Sep.
1999]; Sep. 24, 1999; Jul. 27, 2000; TO: Mar 2, 1995; Mar.
27, 1995; Apr. 20, 1995; May 2, 1995; Jun. 7, 1995; Dec.
18, 1995; Mar. 14, 1997(+ list); Apr. 8, 1998; May 18,
1999; Sep. 2, 1999; Oct

Edwards, Benjamin F., IV (Tad) A.G. Edwards & Sons, Inc.,
FROM: Oct. 1, 1999; [Nov. 1, 1999] TO: Oct. 14, 1999;
Nov. 3, 1999;

Edwards, Josselyn Y., FROM: Nov. 18, 1996; TO: Nov. 26,
1996

Edwards, Larry US SEC, TO: Sep. 29, 1995

Eedle, Paul Reuters America, Inc., FROM: Jan. 26, 1995;
TO: Mar. 10, 1995

Ehrlich, Everett M. US Department of Commerce, TO: Mar.
27, 1995

Ehrlich, Harold B. Ehrlich Associates, LLC., FROM: Oct. 13,
2000; TO: Oct. 31, 2000;

Eich, Stephen Steppenwolf Theatre Co., FROM: Aug. 24,
1993; TO: Sep. 13, 1993

Eisen, Susan Fine Jewelry, TO: Apr. 20, 1995

Eisenberg, Meyer US SEC - Deputy General Council, TO:
Feb. 26, 1999;

Eisner, Michael D. Walt Disney Company, FROM: Jul. 12,
2000; TO: Jul. 25, 2000; Oct. 4, 2000;

Eitel, Sandy ABA Business Law Publications, FROM: Jan.
[29], 1997; TO: Feb. 4, 1997

Ekker, Shaun, FROM: Dec. 21, 2000; TO: Jan. 2, 2001;

Eldridge, Joseph Lawyers Committee For Human Rights,
FROM: Jul. 28, 1993; TO: Aug. 4, 1993

Emery, Fred J. Regulatory Group, Inc., FROM: Oct. 8 1998;
TO: Oct. 20, 1998;

Emmons, Delia McQuade, FROM: Feb. 22, 1999; TO: Mar.
1, 1999;

Engel, Eliot L. US House of Representatives, FROM: Apr. 27,
1995; TO: May 12, 1995; Feb. 18, 1997; Mar. 5, 1997;

England, Richard Hechinger Company, FROM: aug. 28,
1995; TO: Sep. 21, 1995

English, James H. US Senate Committee on Appropriations,
TO: Oct. 19, 2000;

Enzi, Michael B. US Senate, TO: Oct. 2, 2000;

Erickson, George R., TO: Apr. 20, 1995

Eshoo, Anna G. US House of Representatives, FROM: Jul.
12, 1996; Oct. 15, 1996; Feb. 3, 1997; Oct. 14, 1998; Jan.
20, 2000; TO: Oct. 17, 1996; Nov. 13, 1996; Mar. 17, 1997;
Apr. 13, 1998; Oct. 21, 1998; May 19, 2000;

Espinosa, Eduardo S. US SEC - Fort Worth District Office,
TO: May 14, 1998;

Esposito, Domenick J. Grant Thornton LLP, TO: Nov. 27,
2000;

Estes, Ralph American University - Kogod College of
Business Administration, FROM: Jan. 10, 2000; TO: Mar.
29, 2000;

Evans, Lane US House of Representatives, FROM: Apr. 27,
1995; Oct. 10, 1996; TO: May 12, 1995; Dec. 10, 1996;

Evensky, Harold R. Evensky, Brown & Katz, TO: Mar. 16,
1999;

Ewing, Tom US House of Representatives, FROM: Jan. 20,
2000; TO: Mar. 2, 2000;

Fahey, Helen F. US Attorney, FROM: Nov. 3, 1995; TO:
Nov. 16, 1995

Faircloth, Lauch US Senate, FROM: Mar. 15, 1994; Jan. 19, 1995; Jan. 22, 1997; TO: Jan. 30, 1998; Jun. 15, 1998;

Falls, Larry W. Software AG, FROM: Dec. 26, 1995; TO: Jan. 29, 1996;

Fanto, James A. Brooklyn Law School, FROM: Feb. 20, 1998; TO: Mar. 24, 1998;

Fauzi, Abdellatif Conseil Deontologique des Valeurs Mobilieres, Morocco, FROM: Sep. 11, 1995; TO: Sep. 25, 1995

Fattah, Chaka US House of Representatives, FROM: Oct. 10, 1996; Nov. 10, 1997; TO: Dec. 10, 1996; Jan. 20, 1998

Faught, Irving Department of Securities, OK, TO: Apr. 21, 1995

Feeney, John J. Deputy Comptroller, NY, FROM: Aug. 12, 1993; TO: Aug. 25, 1993

Feigin, Philip A. North American Securities Administrators Association, Inc., FROM: Mar. 3, 1995 (to Rep. Bliley); Mar. 15, 1995; TO: Mar. 24, 1995; TO: Apr. 21, 1995

Feinberg, Peter E. CIBC World Markets Corp., FROM: Jun. 17, 1999; TO: Jul. 15, 1999;

Feinbloom, Allan, TO: Apr. 20, 1995

Feingold, Russell D. US Senate, FROM: Apr. 8, 1997; TO: Apr. 30, 1997;

Feinstein, Dianne US Senate, FROM: Mar. 28, 1997; TO: Apr. 17, 1997;

Feis, William J. Troy & Gould, FROM: Jul. 29, 1993; TO: Aug. 4, 1993

[Fener], Mitchell, FROM: Apr. 6, 1998;

Feldman, Darrah US SEC - Office of Public Affairs, Policy Evaluation & Research, TO: Nov. 24, 1999;

Feldstein, Martin National Bureau of Economic Research, TO: Jan. 8, 1998;

Fenster, Herbert McKenna & Cuneo LLP, FROM: Nov. 29, 1999; Jan. 7, 2000; TO: Dec. 23, 1999 (Sherman, Donald) Feb. 7, 2000;

Ferdinand, Carlos Inter-American Development Bank, FROM: Dec. 6, 1996; TO: Dec. 23, 1996;

Ferguson, Roger, Jr. Federal Reserve System, TO: Jul. 21, 1998; Oct. 12, 1999;

Ferguson, W. Dennis JW Charles Clearing Corp., TO: Apr. 20, 1995

Ferguson, James D. US SEC - Print Shop, TO: Oct. 6, 1997

Ferguson, William C. NYNEX Corp., TO: May 1, 1995

Fernandez-Armesto, Juan Comision Nacional del Mercado de Valores, Spain, FROM: Dec. 20, 1996; TO: Dec. 26, 1996; Jan. 7, 1997; Jun. 15, 1998;

Fernandez Garcia, Eduardo Comision Nacional Bancaria y de Valores, Mexico, FROM: Jan. 17, 1997; TO: Sep. 22, 1995; Mar. 29, 1996; Dec. 26, 1996; Jan. 29, 1997

Ferren, Bran Walt Disney Imagineering, TO: Apr. 17, 1998;

Feulner, Edwin J. Heritage Foundation, TO: Nov. 24, 1998;

Field, William C. Trizak Corp., FROM: Aug. 3, 1993; TO: Aug. 12, 1993

Fields, Jack M., Jr. US House of Representatives, FROM: Jan. 12, 1995; Feb. 8, 1995; Jul. 31, 1995; Mar. 8, 1995; Sep. 26, 1996; Sep. 26, 1996; TO: Jan. 17, 1995; Feb. 27, 1995; Mar. 6, 1995; Aug. 10, 1995; Aug. 29, 1995; Sep. 28, 1995; Nov. 1, 1995; Jan. 19, 1996; Feb. 28, 1996; Mar. 7, 1996; Apr. 19

Fields, Jack Twenty-First Century Group, FROM: Apr. 14, 1998; TO: Apr. 21, 1998;

Fierle, Gretchen, FROM: Jul. 6, 1999; TO: Jul. 13, 1999;

Fierle, Robert J. American Precision Industries, FROM: Aug. 2, 1993; TO: Aug. 12, 1993

Figel, Reid M. US Attorney, FROM: Feb. 15, 1997

Figlewski, Stephen New York University Leonard N. Stern School of Business, TO: May 2, 1995

Figueres, Muni Costa Rica, FROM: Mar. 27, 1998; May 27, 1998; TO: Jun. 4, 1998;

Figueres Olsen, Jose Maria President, Costa Rica, FROM: Jul. 18, 1997; TO: Aug. 8, 1997;

Fineron, J., FROM: Dec. 15, 1999; TO: Mar. 14, 2000;

Fink, Matthew P. Investment Company Institute, FROM: Feb. 7, 1995; Apr. 5, 1995; Apr. 17, 1995; May 19, 1995; May 23, 1995; Sep. 28, 1995; May 20, 1996; May 23, 1996; Nov. 11, 1996; Nov. 13, 1997; Jul. 9, 1998; Sep. 9, 1999; Sep. 15, 1999; Oct. 13, 1999; Dec. 22, 1999; TO: Jan. 18, 1995; Feb. 24, 19

Finn, David Ruder-Finn, Inc., FROM: Jan. 8, 199[7]; TO: Jan. 30, 1995; Feb. 7, 1997

Fishburn, Dudley Economist, FROM: Nov. 17, 1994; Nov. 13, 1995; May 22, 1996; TO: Jun. 21, 1996;

Fisher, George M.C. Eastman Kodak Co., TO: May 1, 1995

Fisher, Pamela S. Boy Scouts of America, FROM: Mar. 14, 1998 (filed under Mar. 24, 1998)

Fisher, Peggy US SEC - Division of Corporation Finance, TO: Oct. 23, 1995

Fisher, Richard B. Morgan Stanley & Co., Inc., TO: Feb. 17, 1995; Mar 2, 1995; Mar. 27, 1995; Apr. 20, 1995; Jun. 7, 1995; Jan. 30. 1997; Apr. 10, 1997;

Fitterman, Mark D. US SEC - Division of Market Regulation, TO: Feb. 17 1995

Fitzgerald, Jim, TO: Apr. 20, 1995

Fitzgerald, Kathleen New York Stock Exchange, TO: Feb. 17 1995

[Fleesclund], Ed., FROM: Dec. 16, 1994; TO: Jan. 17, 1995; [Feb. 17 1995]

Fitzgerald, Peter US Senate, FROM: Feb. 23, 2000 (Sturm, Robert); TO: May 3, 2000;

Flaherty, Robert J. Equities Magazine, FROM: Dec. 23, 1997; Feb. 3, 2000; TO: Jan. 5, 1998; Feb. 9, 2000;

Flanagan, Kathleen M. John Nuveen & Co., Inc., TO: Sep. 13, 1995

Flanigan, Thomas E., FROM: Jun. 7, 1997; TO: Aug. 1, 1997;

Fleischer, Arthur, Jr. Fried, Frank, Harris, Shriver & Jacobson, TO: Mar. 5, 1998; Jan. 29, 2001;

Fleischer, Spencer Morgan Stanley International, TO: Mar. 7, 1995

Fleischman, Edward H. Linklaters, FROM: Sep. 8, 1999; TO: Oct. 30, 1998; Sep. 22, 1999

Flom, Joseph H. Skadden, Arps, Slate, Meagher & Flom, TO: Mar. 5, 1998

Flomenhaft, Joelyn, TO: Apr. 20, 1995

Flores, Julian M. Security Traders Association of Washington, DC, TO: May 14, 1998;

Flynn, Darcy US SEC - Division of Enforcement, TO: Jun. 18, 1998;

Fob, James Governor, AL, TO: Oct. 23, 1995 (+ list)

Fogarty, John F., FROM: Mar. 10, 1994

Foley, Gerard National Association of Securities Dealers, TO: Feb. 17 1995

Folger, Bitsey City Lights School, FROM: Feb. 29, 1996; TO: Mar. 13, 1996;

Fong, Matt Treasurer, CA, FROM: Nov. 3, 1995; Sep. 10, 1996; TO: Feb. 9, 1996; Sep. 27, 1996;

Fons, Randall US SEC - Southeast Regional Office, TO: Apr. 15, 1999;

Foran, Margaret M. ITT Corporation, TO: Dec. 23, 1996;

Forbes, Malcolm S., Jr. Forbes Magazine, FROM: May 10, 1995; TO: May 17, 1995

Forney, Robert H. Chicago Stock Exchange, FROM: Dec. 20, 1995; Jan. 12, 1996; Apr. 16, 1997; Jun. 29, 1998 (filed under Jackson, Jesse, Sr., Jul. 9, 1998); Jun. 16, 1999; Oct. 4, 1999; Jan. 6, 2000; TO: Sep. 13, 1995; Oct. 25, 1995; Jan. 29, 1996; Jan. 30, 1996; Mar. 7, 1997; May 8, 1997; Jul. 1

Fosella, Vito J. US House of Representatives, FROM: Sep. 27, 1999; TO: Oct. 12, 1999;

Foss, Jay, TO: Apr. 20, 1995

Foss, Lawrence Chase Securities, Inc., TO: Apr. 8, 1998;

Fossella, Vito J. US House of Representatives, FROM: Jan. 10, 1999; TO: Feb. 7, 2000;

Foster, Bob US House of Representatives - Office of Rep. Oxley, TO: Mar. 5, 1997;

Foster, John M. (Neel) Financial Accounting Standards Board, FROM: Apr. 25, 1996; Apr. 13, 1998; Jun. 16, 1998; TO: Apr. 21, 1998; Apr. 30, 1998; Jul. 10, 1998;

Fox, David W. Chicago Stock Exchange, TO: Mar. 7, 1997; Feb. 22, 1999;

Fox, Jean Ann Consumer Federation of America, FROM: May 9, 2000; TO: Jun. 20, 2000;

Fox, Lawrence J. American Bar Association, FROM: Dec. 1, 1995; TO: Jan. 2, 1996

Fraiman, Robert J., FROM: Jul. 30, 1993; TO: Aug. 9, 1993

Franchella, Richard Paine Webber, Inc., TO: Feb. 17 1995

Frank, Barney US House of Representatives, FROM: Apr. 27, 1995; Oct. 10, 1996; Aug. 26, 1997; Oct. 28, 1997; Nov. 18, 1997; May 9, 2000; Jul. 10, 2000; TO: May 12, 1995; Dec. 10, 1996; Oct. 6, 1997; Nov. 25, 1997; Jun. 20, 2000; Aug. 29, 2000;

Franke, Richard J. John Nuveen & Co., Inc., TO: Sep. 13, 1995

Frazier, Fran American Business Conference, TO: Oct. 2, 1998;

Frederick, Paul A. Frederick & Company, Inc., FROM: Oct. 2, 1997; TO: Apr. 20, 1995; Nov. 17, 1997;

Freeman, James S. Olde Discount Corporation, TO: Apr. 20, 1995

Freeman, Paul Charles Schwab & Co, Inc., TO: Feb. 17 1995

Freeman, Richard A. Wasserstein Perella & Co, Inc., FROM: Mar. 10, 1995; TO: Mar. 29, 1995

Frenkel, Ya'akov J. Bank of Israel, TO: Apr. 25, 1997;

Freund, William C. Lubin Graduate School of Business, Pace University, FROM: Aug. 9, 1993; TO: Aug. 13, 1993

Fribourg, Paul J. ContiGroup Companies, Inc., TO: Oct. 12, 1999;

Friedland, Stuart, FROM: Aug. 2, 1993; May 26, 1998; TO: Aug. 9, 1993; Jun. 3, 1998;

Friedman, Felice US SEC, TO: Jun. 24, 1999

Friedman, Stephen Goldman Sachs & Co., FROM: Aug. 9, 1993; TO: Aug. 24, 1993

Friedman, Stephen J. Association of the Bar of the City of New York - Committee on Securities Regulation, from: Nov. 15, 1995 (Clinton); to: Nov. 30, 1995

Friedman, Stephen J. Equitable Life Assurance Society, FROM: Aug. 5, 1993; TO: Aug. 24, 1993

Friedman, Stephen J. Equitable Life Assurance Society; Debevoise & Plimpton, FROM: Nov. 8, 1995; TO: Nov. 27, 1995; Aug. 29, 1997;

Frist, Bill US Senate, TO: Jan. 30, 1995; Aug. 21 1995; Jan. 23, 1998;

Friedman, Thomas New York Times, TO: Nov. 7, 2000;

Frisa, Dan US House of Representatives, FROM: Aug. 9, 1995; TO: Sep. 12, 1995

Fronsdal, Kjell Oslo Bors, Norway, TO: Apr. 10, 1997;

Frost, Martin US House of Representatives, TO: Mar. 27, 1995

Frost, Timothy T. Pioneer First Voucher, Russia, FROM: Aug. 26, 1996; TO: Sep. 13, 1996;

Frucher, Meyer S. Philadelphia Stock Exchange, FROM: Jun. 2, 1999; TO: Feb. 22, 1999; Jun. 15, 1999; Oct. 1, 1999;

Fujioka, Margaret J. National Asian Pacific Bar Association,
FROM: Feb. 9, 1998; TO: Mar. 25, 1998;

Fuld, Richard S., Jr. Lehman Brothers, Inc., FROM: Nov. 30,
1996; TO: Feb. 17, 1995; Mar 2, 1995; Mar. 27, 1995; Apr.
20, 1995; Jun. 7, 1995; Jan. 29, 1996; Apr. 10, 1997; Oct.
17, 1997; Apr. 8, 1998; Jul. 21, 1998; Oct. 22, 1998; Nov.
23, 1998; Dec. 28, 1998; Jan. 5, 1999; Jan. 29, 2001;

Fuller, H. Lawrence Amoco, TO: May 1, 1995

Fulton, Kathryn US SEC - Director of Legislative Affairs,
FROM: Jan. 30, 1995 (Rep. Wolf); Mar. 3, 1995 (Sayer); TO:
Jan. 9, 1995 (Rep. Wolf);

Furer, Lewis, TO: Apr. 20, 1995

Furlong, Mary Anne New York Stock Exchange, TO: Feb. 17
1995

Furman, Gregory J. Bergdorf Goodman, FROM: Jul. 27,
1993; TO: Aug. 4, 1993

Furman, Roy L. Furman Selz, Inc., FROM: Jul. 27, 1993; TO:
Aug. 9, 1993

Furse, Elizabeth US House of Representatives, TO: Feb. 18,
1997; Mar. 5, 1997;

Fushiya, Kazuhiko Ministry of Finance Securities Bureau,
Japan, FROM: Jun. 24, 1998; TO: Jun. 29, 1998;

Futter, Ellen American Museum of Natural History, TO: Jan.
29, 2001;

Gabr, Shafik American Chamber of Commerce in Egypt,
FROM: Feb. 29, 1995; Apr. 21, 1997; TO: Mar. 11, 1996;
May 2, 1997;

Gallo, Lynda, TO: Apr. 20, 1995

Gamboa, John C. Greenlining Institute, FROM: Oct. 7,
1998(+ others); TO: Oct. 15, 1998;

Gannon, John US SEC - Office of Investor Education, FROM:
Dec. 4, 1998; TO: Oct. 9, 1998 (RE: Salas, Selma);

Ganske, Greg US House of Representatives, FROM: Jul. 14,
1998; TO: Feb. 18, 1997; Mar. 5, 1997; Aug. 18, 1998; Apr.
12, 2000; Jul. 13, 2000;

Gard, Steven J. Page & Bacek, TO: Apr. 20, 1995

Gardinger, Robert M. Morgan Stanley Dean Witter, FROM:
Jul. 27, 2000; TO: Aug. 15, 2000;

Gardner, Tom Motley Fool, Inc., TO: Nov. 27, 2000;

Garten, Jeffrey E. Yale School of Management, FROM: May
2, 1997; Sep. 23, 1997; TO: May 20, 1997; Jan. 29, 2001;

Gatzek, Deborah R. Franklin Resources, Inc., TO: Mar. 16, 1999;

Gaul, Hans Michael VEBA Aktiengesellschaft, Germany, FROM: Oct. 14, 1997; TO: Dec. 2, 1997;

Gault, Ronald T. J.P. Morgan Securities, Inc., FROM: Aug. 26, 1993; TO: Sep. 13, 1993

Gavin, Paula L. YMCA of Greater NY, FROM: Jan. 22, 1996; TO: Feb. 20, 1996

Gaynor, Thomas J. Department of Law and Public Safety, NJ, TO: Apr. 21, 1995

Geist, Andrew J. US SEC - Northeast Regional Office, TO: Feb. 24, 1995

Gejdenson, Sam US House of Representatives, FROM: May 14, 1997;

Gelfond, Larry Gelfond Hochstadt Pangburn, TO: Nov. 27, 2000;

Gensler, Gary US Department of Treasury, FROM: Nov. 1, 1999; TO: Nov. 8, 1999;

George, James Covert Intelligence Associates, Inc., TO: Apr. 20, 1995

George, Sylvia Covert Intelligence Associates, Inc., TO: Apr. 20, 1995

George, Raymond E., Jr., FROM: Dec. 16, 1999; TO: Jan. 19, 2000;

George, William Covert Intelligence Associates, Inc., TO: Apr. 20, 1995

George, William W. Medtronic, Inc., FROM: Oct. 17, 2000; TO: Feb. 19, 1999; Oct. 27, 2000;

Georges, John A. International Paper, FROM: Nov. 30, 1995; TO: Dec. 7, 1995

Gerber, A. Richard Securities Commission, PA, FROM: Jun. 17, 1996; Mar. 3, 1996; TO: Jul. 11, 1996; Apr. 16, 1998;

Gerrish, Donald H. Town Manager, Brunswick, ME; International City/County Management Association,, FROM: Mar. 18, 1997; TO: Mar. 26, 1997;

Gersh, Bernard Georgetown University Medical Center, TO: Jun. 23 1995 (re: Kimberly Solomon)

Gervin, Arthur Respect for Law Alliance, Inc., FROM: Sep. 21, 1995; Oct. 17, 1995; Jul. 17, 1997; TO: Sep. 26, 1995; Oct. 25, 1995; Jul. 23, 1997;

Gettinger, Jason R. US SEC - Northeast Regional Office, TO: Feb. 24, 1995

Gevirtz, Don L. Foothill Group, Inc., FROM: Aug. 21, 1995
(A. Levitt III); TO: Aug. [29]; 1995

Geyer, Thomas E. Department of Commerce, OH, FROM:
Nov. 27, 1997; Apr. 13, 1998; TO: Jan. 17, 1997; Apr. 21,
1998;

Giamanco, Joseph GHM, Inc., TO: Feb. 20, 1996

Giles, Bob Media Studies Center, TO: Sep. 14, 1998;

Gillan, Kayla J. Public Employees Retirement System, CA,
TO: Nov. 27, 2000;

Gillmor, Paul E. US House of Representatives, FROM: May
23, 1997 (filed under Buffet, Warren, Aug. 25, 1997); TO:
Feb. 18, 1997; Mar. 5, 1997; Mar. 13, 1997;

Gillogly, Donald DLS Group, Inc., TO: Feb. 17, 1995

Gilman, Benjamin A. US House of Representatives, FROM:
Nov. 24, 1997; TO: Dec. 17, 1997;

Gilson, Ronald J. Stanford University Law School, TO: Mar.
16, 1999;

Gingrich, Newt US House of Representatives, TO: Jan. 6,
1995; Jun. 16, 1995; Dec. 29, 1995; Mar. 4, 1996; Jun. 4,
1996; Jun. 19, 1996; Sep. 11, 1996; Sep. 25, 1997; May 4,
1998; Sep. 30, 1998;

Ginsburg, David, TO: Sep. 16, 1998 (RE: Douglas, William);

Ginsburg, Mark New York University Leonard N. Stern
School of Business, TO: Oct. 10, 1995

Ginsburg, Ruth Bader US Supreme Court, TO: Oct. 5, 1998;

Giordano, Nicholas A. Philadelphia Stock Exchange, FROM:
Aug. 9, 1993; Feb. 8, 1995 (IPO Study); Feb. 10, 1995; Jan.
12, 1996; Feb. 5, 1997; TO: Aug. 13, 1993; Jan. 12, 1995;
Feb. 17, 1995; Feb. 17, 1995 (IPO Study); Mar. 8, 1995;
Oct. 25, 1995; Dec. 7, 1995; Jan. 30, 1996; Feb. 14, 1997;
Mar. 7, 1997;

Gitenstein, Mark H. Mayer, Brown & Platt, TO: Apr. 23,
1997;

Givens, Beth Privacy Rights Clearinghouse, FROM: May 9,
2000; TO: Jun. 20, 2000;

Glaser, Rob RealNetworks, Inc., TO: Jun. 13, 2000;

Glasser, Eugene J. Sweig/Glasser Advisers, TO: Apr. 20,
1995

Glasser, Lynn S. Simon & Schuster Professional Information
Group, FROM: Aug. 9, 1993; Apr. 25, 1995; TO: Aug. 12,
1993; May 3, 1995

Glasser, Stephen A. Simon & Schuster Professional Information Group, FROM: Aug. 9, 1993; Apr. 25, 1995; TO: Aug. 12, 1993; May 3, 1995

Glassman, James K. American Enterprise Institute for Public Policy Research, FROM: Jul. 15, 1997 (McIntosh, David); TO: Jan. 29, 2001;

Glassman, Zoe John F. Kennedy Center for the Performing Arts, FROM: Aug. 28, 1998; TO: Sep. 1, 1998;

Glatstein, David Barre & Company, Inc., TO: Apr. 20, 1995

Glauber, Robert Harvard University - JFK School of Government; National Association of Security Dealers (NASD), TO: Dec. 1, 1998; Jan. 29, 2001;

Glenn, John US Senate, FROM: Jul. 29, 1998; TO: Dec. 29, 1995; Nov. 20, 1997; Sep. 29, 1998;

Glickman, Andrew Z. US SEC - Office of General Counsel, TO: Oct. 9, 1996;

Godrish, Orit Bain & Co., TO: Jan. 29, 2001;

Goettsch, Craig A. Insurance Division, IA (Supt. Of Securities), TO: Apr. 21, 1995

Goetzmann, Darlene Fidelity Investments, TO: Feb. 17 1995

Goizueta, Robert C. Coca-Cola Company, TO: May 1, 1995

Goldberg, Bruce TJFR Business News Reporter, TO: Feb. 8, 2000 (Business News Luminaries);

Goldfus, Donald W. Apogee Enterprises, Inc., FROM: Jan. 24, 1995; TO: Jan. 31, 1995

Goldmark, Peter C., Jr. Herald Tribune, FROM: Jul. 31, 1998;

Goldschmidt, Harvey Columbia University Law School, TO: Oct. 23, 1995; Mar. 6, 1996; Nov. 6, 1996; Nov. 24, 1998;

Goldsmith, Barry R. US SEC - Division of Enforcement, TO: Aug. 9, 1996; Jun. 4, 1998;

Goldstein, Joseph Kirkpatrick & Lockhart LLP, TO: [Nov. 12], 1999;

Goldstein, Louis L. Comptroller of Treasury, MD, FROM: Aug. 13, 1993; TO: Sep. 13, 1993

Goldstein, Michael Toys R Us, Inc., FROM: May 29, 1996; TO: Jun. 12, 1996

Golub, Harvey American Express Company, FROM: Aug. 25, 1995; Nov. 24, 1998; TO: Aug. 31, 1995; Dec. 7, 1998; Nov. 27, 2000;

Gonzalez, Charles A. US House of Representatives, FROM: Jan. 20, 2000; May 9, 2000; TO: May 19, 2000; Jun. 20, 2000;

Gonzalez, Henry US House of Representatives, TO: Mar. 27, 1995

Gonzalez-Taboada, Jose Universidad de Puerto Rico, FROM: Nov. 23, 1998; TO: Nov. 23, 1998 (Turner, Lynn);

Gonzon, Paul Kirkpatrick & Lockhart LLP, TO: Mar. 16, 1999;

Goodhart, Cori J. American Association of Retired Persons, TO: Apr. 6, 1998;

Gooding, Paul H. Mimlic Sales Corporation, TO: Apr. 20, 1995

Goodison, Sir Nicholas TSB Group plc, FROM: Oct. 14, 1993; TO: Oct. 29, 1993

Goodling, William F. US House of Representatives, TO: Apr. 7, 1997;

Goodwin, Donald J. Smith Barney Shearson Inc., TO: Apr. 20, 1995

Goldin, Harrison Jay Goldin Associates, FROM: May 23, 1995; Nov. 6, 1996; Apr. 8, 1998; [n.d]; TO: Apr. 15, 1998;

Goodwin, Doris K., TO: Jan. 6, 1998 (bio info);

Gordon, Bart US House of Representatives, FROM: Mar. 26, 1997; TO: Apr. 25, 1997;

Gordon, Janet, TO: Apr. 20, 1995

Gordon, Robert N. Twenty-First Securities Corporation, TO: Apr. 20, 1995; Jul. 7, 1995

Gordon, Miles Z. Financial Network Investment Corporation; M.B. Vick & Co., TO: Mar 2, 1995; Apr. 20, 1995; Sep. 13, 1995

Gore, Albert D., Jr. Vice President, USA, FROM: Nov. 6, 1996; Jun. 23, 1997; TO: Jan. 6, 1995; Jun. 16, 1995; Jul. 19, 1995; Dec. 29, 1995; Jan. 26, 1996; Feb. 27, 1996; Mar. 4, 1996; Jun. 4, 1996; Jun. 19, 1996; Sep. 11, 1996; Dec. 5, 1996; Sep. 25, 1997; May 28, 1998; Sep. 30, 1998; Jun. 11, 1

Gorman, Lon Schwab Capital Markets & Trading, TO: Oct. 15, 1999;

Goss, Robert P. Certified Financial Planner Board of Standards, FROM: Mar. 10, 1995; TO: Apr. 4, 1995

Gottesman, Alan J., FROM: May 11, 1995; TO: Jun. 20, 1995;

Gottrell, Rick G. Financial Services Board, South Africa, TO:
Jun. 25, 1999;

Grabish, Richard F. Securities Industry Association, FROM:
Jul. 23, 1993; TO: Aug. 4, 1993

Gramlich, Edward Federal Reserve Board, TO: Oct. 21,
1998;

Gramm, Phil US Senate, FROM: Feb. 6, 1996; Apr. 25,
1997; Mar. 24, 1998; Dec. 17, 1999; Feb. 23, 2000; Nov.
15, 2000; TO: Mar. 27, 1995; Aug. 10, 1995; Sep. 5, 1995;
Nov. 20, 1995; Dec. 29, 1995; Jan. 19, 1996; Feb. 23, 1996;
Apr. 9, 1997; Apr. 11, 1997; May 5, 1997; Jul. 24

Grammatica, Joy US SEC - Production Support, TO: Sep. 29,
1995

Grams, Rod US Senate, FROM: Feb. 26, 1999; TO: Mar. 9,
1999; Oct. 26, 2000;

Grano, Joseph Paine Webber, Inc., TO: Jul. 7, 1995

Grant, Elliott M., FROM: Jun. 13, 1995; TO: Jul. 19, 1995

Grant, Susan National Consumers League, FROM: May 9,
2000; TO: Jun. 20, 2000;

Grasso, Richard A. New York Stock Exchange, FROM: Feb.
5, 1997; Oct. 12, 1998; TO: Jan. 12, 1995; Feb. 17, 1995;
Apr. 26, 1995; Jul. 7, 1995; Jul. 31, 1995; Sep. 5, 1995; Jul.
24, 1996; Feb. 14, 1997; Aug. 8, 1997; Sep. 9, 1997; Oct.
23, 1997; Oct. 26, 1998; Feb. 22, 1999; Mar. 24, 1999; Jul.
26, 1

Grayson, Eugene Travellers Equities Sales, Inc., TO: Mar 2,
1995; Apr. 20, 1995

Gray, Elizabeth CNS, TO: Mar. 9, 2000;

Grayson, E. C. Spencer Stuart, FROM: Dec. 11, 1995; TO:
Jan. 22, 1996

Greber, Robert M. Pacific Stock Exchange, FROM: May 30,
1995; Feb. 5, 1997; TO: Jun. 22, 1995; Feb. 14, 1997; Mar.
7, 1997; Feb. 22, 1999;

Green, Gene US House of Representatives, TO: Mar. 27,
1995

Green, Harry F., III Philadelphia Stock Exchange, FROM:
Jun. 10, 1998; TO: Jun. 30, 1998;

Green, Joseph DLS Group, Inc., TO: Feb. 17, 1995

Green, Mark US SEC - Division of Corporation Finance,
FROM: Mar. 1, 2000; TO: Mar. 15, 2000;

Green, Micah S. Public Securities Association; Bond Market
Association, FROM: Aug. 23, 1993; Oct. 20, 1997; TO: Aug.
27, 1993; Jan. 4, 1995; Nov. 13, 1997;

Green, Robert, FROM: Oct. 12, 1993; TO: Oct. 29, 1993

Green, Ronald M Dartmouth College, TO: Apr. 26, 1995

Greenberg, Alan C. Bear, Stearns & Co, Inc., TO: Feb. 17, 1995

Greenberg, Daniel Electro Rent Corp., FROM: Aug. 1, 1993; Sep. 3, 1996; TO: Aug. 9, 1993

Greenberg, Jack M. McDonald's Corp., FROM: Oct. 6, 1998; TO: Oct. 26, 1998;

Greenberg, Martin H. Tekno-Books, FROM: Mar. 21, 1997;

Greenberg, Maurice R. American International Group, Inc., FROM: Nov. 10, 1997; TO: Dec. 18, 1997;

Greenberg, Sanford D. Chatfield Dean & Co., TO: Apr. 20, 1995

Greene, Ainsworth International Association for Financial Planning, TO: May 14, 1998;

Greene, Milton A. Investment Management and Research, Inc., TO: Apr. 20, 1995

Greenhill, Robert F. Smith Barney Shearson Inc., TO: Feb. 17, 1995; Mar 2, 1995; Apr. 20, 1995; Jun. 7, 1995

[Greenspan] Treasury and Civil Service Committee, UK, FROM: Jan. 30, 1995 (See Arnold, Thomas of Apr. 18, 1995)

Greenles, Chris US SEC, TO: May 3, 1995

Greenspan, Alan Federal Reserve System - Board of Governors, FROM: May 26, 1995; Jun. 4, 1998 (filed under Oxley, Jun. 15, 1998); Oct. 14, 1999; TO: Jun. 21, 1995; Nov. 14, 1995; Dec. 5, 1997; May 21, 1998; Jun. 3, 1998; Mar. 9, 1999; Oct. 29, 1999;

Greenwald, Gerald United Airlines, FROM: Jun. 3, 1996; TO: Mar. 19, 1996;

Greenwood, James G. US House of Representatives, TO: Feb. 18, 1997

Gregg, Judd US Senate, TO: Jan. 19, 1996;

Grey, Martin M. Smith Barney, Harris, Upham & Co, Inc., FROM: Jul. 27, 1993; TO: Aug. 4, 1993

Griffin, Dustin H., FROM: Jul. 27, 1993; TO: Aug. 13, 1993

Gross, Bernard M., FROM: Mar. 1, 1994

Griffin, Mark J. Securities Division, UT (Director); North American Securities Administrators Association, Inc., FROM: Nov. 27, 1996; TO: Apr. 21, 1995; Jan. 27, 1997

Grimm, Daniel K. Treasurer, WA, FROM: Oct. 4, 1995; TO: Oct. 24, 1995

Gross, Bernard L. Charles River Investment Advisors, TO: Apr. 20, 1995

Gross, Holly A. Downtown Jaycees, DC, FROM: Apr. 4, 1995 (filed under Holland, Patricia, May 12, 1995)

Grove, Andrew S. Intel Corp., TO: May 1, 1995

Groves, Philip L., TO: Apr. 20, 1995

Groves, Ray J. Ernest & Young; Legg Mason Merchant Banking, Inc., FROM: Jul. 28, 1993; [May 11], 1995; Oct. 24, 2000; TO: Aug. 4, 1993; Jun. 7, 1995; Nov. 27, 2000;

Gruber, Martin J. New York University Leonard N. Stern School of Business, TO: May 2, 1995

Grundfest, Joseph A. Stanford University Law School, FROM: Apr. 5, 1995; TO: May 2, 1995

Grundhofer, John F. First Bank System, Inc., FROM: Feb. 14, 1996; TO: May 1, 1995; Mar. 1, 1996;

Gualtieri, John P. Prudential Insurance Company of America, TO: Feb. 17, 1995

Gu, Chen, FROM: Nov. 12, 1996; TO: Nov. 26, 1996

Gudes, Scott US Senate, TO: Dec. 11, 1995

Guenther, Paul B. SIA Securities Industry Association, TO: Apr. 20, 1995

Gutierrez, Luis V. US House of Representatives, FROM: Oct. 10, 1996; May 9, 2000; TO: Dec. 10, 1996; Jun. 20, 2000;

Gutttag, Irwin Mentor Partners, L.P., FROM: Jul. 27, 1993; TO: Aug. 4, 1993

Gupta, Rajat K. McKinsey & Co., Inc., TO: Jan. 29, 2001;

Gut, Rainer E. Credit Suisse, Switzerland, FROM: Jun. 25, 1996; TO: Jul. 11, 1996; Dec. 24, 1998;

Guthary, Barry Securities Division, MA, TO: Apr. 21, 1995

Guy, Joel Boy Scouts of America, TO: Mar. 24, 1998

Haaga, Paul G., Jr. Capital Research and Management Co., FROM: Oct. 27, 2000; TO: Mar. 16, 1999; Dec. 7, 2000;

Haberle, Therese M. Charles Schwab & Co, Inc., From: Feb. 6, 1996; TO: Feb. 17, 1995; Mar. 6, 1996

Hafer, Fred D. GPU, Inc., TO: Dec. 5, 1997

Hafner, Joseph A., Jr. Riviana Foods, Inc., FROM: Jul. 15, 1997; TO: Jul. 23, 1997;

Hageman, Hans, TO: Oct. 21, 1998;

Haire, John R. Dean Witter InterCapital, Inc., TO: Mar. 16, 1999;

Halik, Rebecca St. Ignatius School, FROM: Jan. 8, 1996; TO: Feb. 20, 1996

Hall, Hannah R. Los Angeles Times, FROM: Apr. 18, 1995
(See Miller, Allan C.)

Hall, J. Andrew Comision Nacional de Valores, Argentina, TO: Jan. 24, 2001;

Hall, Ralph M. US House of Representatives, FROM: Sep. 26, 1996; Jan. 8, 1997; Jul. 3, 1997; TO: Mar. 27, 1995; Oct. 28, 1996; Feb. 10, 1997; Jul. 24, 1997;

Hallman, Cinda Dupont Global Systems and Processes, TO: Aug. 20, 1999; May 17, 2000;

Halloran, Michael J. Bank of America; Pillsbury, Madison & Sutro, FROM: Mar. 21, 1995; TO: Apr. 10, 1995; Aug. 29, 1997;

Hamill, Tom, TO: Jan. 11, 1995

Hammerman, Stephen L. Merrill Lynch & Co, Inc., FROM: Oct. 2, 1995; TO: Jul. 7, 1995; Oct. 5, 1995

Hankin, Joseph N. Westchester Community College, NY, TO: Mar. 16, 1999;

Hanks, Eva H. Yeshiva University, FROM: Sep. 14, 1993
(See also Lamm, Sep. 21, 1993)

Hannigan, Barbara B. US SEC - Ethics Liason Officer, FROM: (See Kennedy James) Mar. 27, 1995; Jan. 10, 2001;

Hannon, Kerry USA Today, FROM: Apr. 9, 1998; TO: Apr. 14, 1998;

Hansell, William H., Jr. International City/County Management Association, TO: Jan. 9, 1997;

Hansen, William Education Finance Council, TO: Jan. 9, 1997;

Hanssen, Kris DLS Group, Inc., TO: Feb. 17, 1995

Hantke, Wolfgang Organization for Economic Cooperation and Development, FROM: Nov. 28, 1996 (Aaron, David); TO: Dec. 30, 1996;

Harbin, Roger F. PNMR Securities, Inc., TO: Apr. 20, 1995

Hardiman, Joseph R. National Association of Securities Dealers, Inc., FROM: Mar. 11, 1996; TO: Jan. 12, 1995; Feb. 17 1995; Apr. 26, 1995; Jul. 7, 1995; Mar. 21, 1996;

Hardy, John US SEC - OIEA, TO: [Aug. 7], 1998; Jul. 17, 2000;

Harkin, Tom US Senate, FROM: Mar. 25, 1998; TO: Apr. 28, 1998;

Harmon, Jim Wertheim, Schroder, TO: Apr. 26, 1995

Harmon, Sidney, TO: Apr. 27, 1999;

Harper, Ken, FROM: Jul. 29, 1999; TO: Aug. 17, 1999;

Harper, Terry US SEC, TO: Sep. 29, 1995

Harrington, Diana Babson College, TO: May 14, 1998;

Harris, Dee Riddell Arizona Corporation Commission;
North American Securities Administrators Association, Inc.,
FROM: Aug. 9, 1993; TO: Aug. 24, 1993; Dec. 5, 1995

Harris, Edwina US SEC - Office of Administrative and
Personnel Management, TO: Jan. 23, 2001;

Harris, Hubert L. INVESCO Retirement & Benefit Services,
TO: May 14, 1998;

Harrod, James Edward D. Jones & Co., TO: Feb. 17, 1995

Hart, Dabney G. Cosmos Club, TO: Aug. 16, 2000;

Hartneck, Guillermo Comision Nacional de Valores,
Argentina, FROM: Jul. 14, 1997; Sep. 5, 1997; Sep. 3, 1998;
TO: Jul. 15, 1996; Aug. 26, 1997; Sep. 12, 1997; Oct. 14,
1998;

Hartman, John W., TO: Mar. 19, 1998;

Hartmann, Ulrich VEBA Aktiengesellschaft, Germany,
FROM: Oct. 14, 1997; Dec. 16, 1997; TO: Dec. 2, 1997;

Hartz, John US SEC, TO: May 3, 1995

Harvey, Anne American Association of Retired Persons, TO:
Apr. 14, 1998;

Hastert, J. Dennis US House of Representatives, TO: Jun.
11, 1999;

Hatch, Orrin G. US Senate, FROM: Feb. 24, 1995; Sep. 5,
1995; Jun. 23, 2000; TO: May 1, 1995; Aug. 7, 1995; Oct.
18, 2000;

Hatfield, Mark O. US Senate, TO: Feb. 17, 1995; Nov. 15,
1995; Jan. 3, 1996; Jan. 19, 1996; Feb. 9, 1996; Oct. 2,
1996

Hatfield, Terry E. US SEC, TO: May 7, 1996

Hatsopoulos, George N. Thermo Electron, FROM: Jan. 24,
1996; May 17, 1996; Sep. 3, 1996; TO: Feb. 8, 1996; Jun.
12, 1996; Dec. 11, 1996;

Hauri, Kurt Commission Federale des Banques, Switzerland,
TO: Dec. 26, 1996; Nov. 17, 1997;

Hawke, John D., Jr. US Department of Treasury;
Comptroller of the Currency, TO: Oct. 30, 1997; Nov. 27,
2000;

Hayashi, Yoshimasa House of Councillors, Japan, FROM:
Sep. 27, 2000; TO: Oct. 18, 2000;

Hayden, Tom State Senate, CA, FROM: May 10, 1995; Jan.
20, 1998; TO: Jun. 20, 1995; Jan. 26, 1998;

Hayes, Samuel L, III Harvard University - Graduate School
of Business Administration, TO: May 1, 1995; Jun. 7, 1995;
Mar. 30, 1998;

Haynes, Lucille US SEC, TO: Jun. 16, 1995; Jun. 20, 1995

Heckler, John M. Independence Institutional Securities, TO:
Jan. 6, 1995

Heckler, Robert Waddell & Reed, Inc, TO: Apr. 20, 1995

Heidenrich, Robert Morgan Stanley & Co, Inc., TO: Sep. 13,
1995

Heidtke, L. O. (Buzz) Heidtke & Company, Inc., TO: Aug.
23, 1995

Heimann, John Merrill Lynch & Co, Inc., FROM: Aug. 10,
1998; TO: Apr. 20, 1995; TO: Aug. 27, 1998;

Heimerdinger, John F. Jewish Guild for the Blind, FROM:
Jul. 2, 1996; TO: Jul. 31, 1996;

Heleniak, David Shearman & Sterling, TO: Feb. 27, 1998;

Helfer, Ricki Taggert, TO: Nov. 19, 1998;

Heller, Harvey R. Heller Bros., TO: Jan. 2, 1996

Helman, Robert Mayer, Brown & Platt, FROM: Jun. 29,
1998 (filed under Jackson, Jesse, Sr., Jul. 9, 1998);

Helton, Bill D. New Century Energies, TO: Dec. 5, 1997

Henderson, Thelton E. US District Court, Northern District,
San Francisco, CA, FROM: Aug. 28, 1996; TO: Sep. 20,
1996;

Hendricks, Evan Privacy Times, FROM: May 9, 2000; TO:
Jun. 20, 2000;

Hennessey, Arthur I., FROM: Apr. 27, 1995; TO: Apr. 20,
1995; May 17, 1995

Hennessey, Frank M. MascoTech, Inc., FROM: Oct. 12,
2000; TO: Jan. 2, 2001;

Hennessy, John M. Credit Suisse First Boston Corp., TO:
Feb. 17, 1995; Mar 2, 1995, Apr. 20, 1995; Jun. 7, 1995

Henning, Madge White House - Intern Program, TO: Feb. 6,
1997 (RE: Rivera-Dirks, John)

Herbert, Dave State Senate, OK, FROM: Nov. 6, 1996; TO:
Dec. 9, 1996

Herman, James A., FROM: Feb. 9, 1995; TO: Feb. 22, 1995

Herndon, Robert G. Pier 1 Imports, FROM: Oct. 16, 1995;
TO: Oct. 27, 1995;

Herring, Richard T. University of Pennsylvania,
Philadelphia, PA, TO: Mar. 16, 1999;

Herrmann, F. John, TO: Apr. 20, 1995

Hersh, Boo Westminister Group, Inc., FROM: Apr. 8, 1998;

Hershberg, Philip I. Deermond Market Center, TO: Apr. 20,
1995

Herzlinger, Regina Harvard University - Graduate School of
Business Administration, FROM: Jan. 31, 1996 (Filed under
Stone, Nan, Feb. 12, 1996)

Herstein, Jack E. Department of Banking and Finance, NE,
TO: Apr. 21, 1995

Herzog John E. Herzog Heine Geduld, FROM: Aug. 30,
1993: TO: Sep. 13, 1993

Hevesi, Alan G. Comptroller of New York, NY, FROM: Jan.
9, 1997; TO: Jan. 21, 1997

Hewitt, John R. Mayer, Brown & Platt, FROM: Dec. 31,
1997; TO: Jan. 21, 1998;

Heyl, Dorothy US SEC - Northeast Regional Office, TO: Jan.
21, 1998;

Heyman, Samuel J. GAF Corporation, FROM: Oct. 22, 1998;
TO: Oct. 30, 1998;

Hidaka, Sohei Ministry of Finance, Japan, FROM: Aug. 3,
1993; Aug. 4, 1995; TO: Aug. 5, 1993; Jun. 20, 1995; Aug.
29, 1995

Higgins, James Dean Witter Discover & Co., TO: Apr. 26,
1995

Hightower, Michael Commissioner, Fulton County, GA;
National Association of Counties; FROM: Mar. 18, 1997;
TO: Mar. 26, 1997;

Hildreth, Peter Bureau of Securities Regulation, TO: Apr.
21, 1995

Hill, Bonnie Guiton University of Virginia, VA - McIntire School of Commerce; The Times Mirror Foundation, FROM: Oct. 20, 1997; TO: Apr. 20, 1995; Mar. 6, 1996; May 2, 1996; Dec. 11, 1997

Hill, John A. First Reserve Corp., TO: Mar. 16, 1999;

Hill, Stephen G. Financial Times, Ltd., UK, FROM: Apr. 10, 1996; TO: Apr. 23, 1996

Hilley, Ryan, FROM: Jul. 31, 1999;

Hilliard, Earl F. US House of Representatives, FROM: Oct. 10, 1996; Nov. 20, 1997; TO: Dec. 10, 1996; Jan. 20, 1998;

Hilliard, J. Henning J.J.B. Hilliard, W.L. Lyons, Inc., FROM: Jul. 27, 2000; TO: Aug. 15, 2000;

Hillis, Danny Walt Disney Imagineering, TO: Aug. 16, 1999;

Hillman, Richard J. General Accounting Office, FROM: Nov. 2, 1998;

Hills, Roderick M. Mudge, Rose, Alexander, Guthrie & Ferdon; Hills Enterprises; Hills & Stern, TO: Oct. 5, 1995; Oct. 28, 1997(+ list); Jul. 28, 2000; Nov. 27, 2000;

Hinden, Stan Washington Post, TO: Apr. 19, 1996

Hino, Masaharu Financial Supervisory Agency, Japan, FROM: Jun. 26, 1998; TO: Jul. 21, 1998; Nov. 19, 1998; Mar. 3, 1999;

Hinsey, Joseph IV Harvard University - Graduate School of Business Administration, FROM: Apr. 4, 1994; TO: Apr. 18, 1995; Apr. 26, 1995

Hirsch, Daniel O. US SEC - Office of General Counsel, TO: Oct. 9, 1996;

Hoak, James M. Heritage Media Corporation, FROM: Sep. 3, 1996;

Hoblin, Philip J., Jr., FROM: Apr. 28, 1995; TO: May 12, 1995

Hochberg, Fred P. Hayday Company, TO: Apr. 3, 1997

Hochmuth, Charles D. US SEC - Southeast Regional Office, TO: May 1, 1998

Hodges, Don W. First Dallas Securities, TO: Apr. 20, 1995

Hoerl, Donald M. US SEC - Philadelphia District Office, TO: Dec. 30, 1996;

Hof, Jack Van't, TO: Apr. 20, 1995

Holder, William W. University of Southern California, Los Angeles, CA, TO: Jun. 11, 1996

Holderman, Mark V. Division of Securities (Commissioner),
OH, TO: Apr. 21, 1995

Holland, John, FROM: Mar. 25, 2000 (RE: Lawson,
Rochelle, filed under Mar. 29, 2000);

Holland, Patricia US SEC - Midwest Regional Office, TO:
May 12 1995; Sep. 30, 1997;

Holliday, Charles O. DuPont Global Systems and Processes,
TO: May 17, 2000;

Hollins, Ernest F. US Senate, FROM: Mar. 2, 2000; TO: Jan.
19, 1996; Mar. 16, 2000;

Holman, Kwasi Chamber of Commerce, DC, TO: May 14,
1998;

Holzrichter, Daniel Dain Bosworth, Inc., TO: Feb. 17 1995

Hong, Jae-hyong Ministry of Finance and Economy, Korea,
FROM: May 2, 1995; TO: May 15, 1995;

Hoogstra, Craig R., TO: Apr. 20, 1995

Hoovestal, Cal Securities Commissioner, ND, TO: Apr. 21,
1995

Hopkins, Henry H. T. Rowe Price Associates, Inc., TO: Mar.
16, 1999;

Hopkins, Karen Brooks Brooklyn Academy of Music, FROM:
Oct. 8, 1998; TO: Oct. 14, 1998;

Horn, Stephen US House of Representatives, FROM: Apr.
27, 1995; Mar. 26, 1997; TO: May 19, 1995; Apr. 11, 1997;
Apr. 25, 1997;

Horning, Dixie Gray Panthers, FROM: Sep. 25, 1995; TO:
Oct. 18, 1995

Horwitz, Gerald A. Horwitz & Associates, Inc., TO: Feb. 17
1995; Apr. 20, 1995

Hotchkiss, Bill National Association of Securities Dealers,
Inc., TO: Feb. 17 1995

Houghton, Amo US House of Representatives, FROM: Aug.
5, 1997; Oct. 20, 1997; TO: Aug. 14, 1997; Oct. 28, 1997;

Houlihan, Paul W. Dean Witter Reynolds, Inc., TO: Apr. 20,
1995

Houston, Martha A., TO: Apr. 20, 1995

Hove, Andrew C. Federal Deposit Insurance Corp., TO: Dec.
5, 1997

Howard, James J. Northern States Power Company, TO:
Apr. 14, 1995

Howard, Philip K. Municipal Art Society of New York,
FROM: Feb. 19, 1998; TO: Mar. 9, 1998;

Howell, Joseph M. MFS Communications Company, Inc.,
FROM: Sep. 12, 1995; TO: Oct. 2, 1995

Hoyer, Steny US House of Representatives, FROM: Oct. 10,
1996; TO: Dec. 10, 1996;

Hu, Richard Ministry of Finance, Singapore, TO: May 3,
1995

Hubbard, Richard Division of Securities (Commissioner),
DE, TO: Apr. 21, 1995

Hubers, David IDS Financial Services, Inc., TO: Mar 2, 1995;
Apr. 20, 1995

Hudick, Andrew M. National Association of Personal
Financial Advisers, FROM: Mar. 13, 1996; TO: Mar. 29,
1996

Hudson, Clifford Securities Investor Protection Corp.,
FROM: Oct. 28, 1999; TO: Nov. 1, 1999;

Hudson, D. J. Vancouver Stock Exchange, FROM: Jul. 23,
1993; TO: Aug. 4, 1993

Hughes, David Boston Stock Exchange Specialist
Association, FROM: Jun. 10, 1998; TO: Jun. 30, 1998;

Hughes, Leslie Corbis Images, FROM: Dec. 20, 2000; TO:
Jan. 5, 2001;

Hull, John E. Deputy Comptroller, NY, FROM: Apr. 6, 1999;
TO: May 11, 1999;

Hummer, Philip W. Wayne Hummer & Co., TO: Sep. 13,
1995

Hund, Michael Shumaker Williams P.C., FROM: Apr. 5,
1995 (Howard F. Morin - filed under Hartz, etc. - May 3,
1995)

Hundt, Reed E. Federal Communications Commission, TO:
Mar. 5, 1996

Hunt, David A. McKinsey & Co., FROM: Oct. 26, 1999; TO:
Oct. 14, 1999; Oct. 15, 1999; Nov. 15, 1999;

Hunt, Isaac C. US SEC, TO: Aug. 14, 1995; Jan. 29, 1996;
May 14, 1998;

Hunter, David W. Hunter Associates, Inc., FROM: Nov. 21,
1995; Jul. 27, 2000; August 2, 2000; TO: Apr. 20, 1995;
Dec. 6, 1995; May 2, 1996; Aug. 15, 2000; Aug. 29, 2000;

Hurd, David Principal Financial Group, TO: Mar 2, 1995;
Apr. 20, 1995

Hurley, Gifford J. Intersecurities, Inc., TO: Mar 2, 1995;
Apr. 20, 1995

Hurley, Terry Chicago Stock Exchange, TO: Sep. 13, 1995

Hutchison, Kay Bailey US Senate, TO: Mar. 27, 1995

Hyde, Henry J. US House of Representatives, TO: Feb. 28,
1995

Ibrahim, Abdel Hamid Capital Markets Authority, Egypt,
TO: May 2, 1997;

Iglesias, Enrique V. Inter-American Development Bank, TO:
Jan. 13, 1995; May 31, 1995; Dec. 11, 1997

Ignace, Keith Lehman Brothers, Inc., TO: Feb. 17 1995

Indyk, Jill US Ambassador, Israel, TO: Feb. 29, 1996;

Indyk, Martin US Ambassador, Israel, TO: Feb. 27, 1996;
Apr. 25, 1997;

Inouye, Daniel K. US Senate, FROM: Feb. 6, 1996; TO: Mar.
11, 1996

Irvine, Susie American Financial Services Association
Education Foundation, TO: Apr. 14, 1998;

Irving, Anita US Small Business Administration, TO: Nov.
14, 1996

Irwin, Fred B. American Chamber of Commerce, Germany,
FROM: Oct. 20, 1997; TO: Apr. 25, 1997; Nov. 14, 1997;
Mar. 2, 1998

Isaacs, Stephen McGraw-Hill Publishing, FROM: Jun. 16,
1999; TO: Jun. 22, 1999

Iselin, John Jay Cooper Union, TO: Dec. 18, 1995

Ishida, Mika Sony Corporation, Japan, TO: Feb. 9, 1999;

Israel, Edmond Bourse de Luxembourg, FROM: Aug. 10,
1993; TO: Aug. 24, 1993

Israel, Kenneth D., Jr. US SEC - Salt Lake District Office, TO:
Dec. 30, 1996;

Istock, Verne G. NBD Bancorp, Inc., FROM: Oct. 6, 1995
(filed under Battista, Oct. 23, 1995); Aug. 8, 1997; TO: Sep.
2, 1997;

Jackson, Jesse L. US House of Representatives, FROM: Feb.
3, 1997; TO: Mar. 17, 1997; Jan.14, 1998; Apr. 27, 1998;

Jackson, Jesse L., Sr. Rainbow PUSH Coalition, FROM: Jun.
19, 1998 (Greenspan); TO: Apr. 27, 1998; Jul. 9, 1998; Apr.
19, 1999;

Jackson, Shirley Ann US Nuclear Regulatory Commission,
FROM: Jul. 2, 1996; TO: Jul. 23, 1996;

Jacob, Valerie Fried, Frank, Harris & Jacobson, TO: Mar. 5,
1998

Jacobs, Elizabeth US SEC - Office of International Affairs,
TO: Nov. 16, 1998;

Jacobs, Warren M., FROM: Mar. 21, 1997; TO: Apr. 2, 1997

Jaeger, Harold F., TO: Apr. 20, 1995

Jaenike, William F. Depository Trust Company, FROM: Jun.
15, 1995; TO: Jun. 28, 1995; Aug. 16, 1999;

Jaharis, Michael, Jr., FROM: Aug. 6, 1993; TO: Aug. 12,
1993

James, E. Pendleton Pendleton James and Associates, Inc.,
FROM: Jul. 27, 1993; TO: Aug. 4, 1993

James, Thomas A. Raymond James Financial, Inc., FROM:
Jan. 23, 1998; Sep. 28, 1999; Jul. 27, 2000; TO: Apr. 26,
1995; Mar. 4, 1998; Oct. 25, 1999; Aug. 15, 2000;

Janke, Kenneth S. National Association of Investors
Corporation, FROM: Sep. 5, 1996; (RE: O'Hara, Thomas,
filed under Sep. 20, 1996)

Jannotta, Edgar D. William Blair & Co., FROM: Jul. 27,
2000; TO: Aug. 15, 2000;

Jeffords, James M. US Senate, TO: Apr. 7, 1997; Oct. 9,
1997 (filed under Plaze, R, Oct. 28, 1997);

Jenkins, Edmund L. Financial Accounting Standards Board,
Apr. 12, 2000 (Schumer, Charles - filed under Jul. 17,
2000) ; Jan. 29, 2001;

Job, Peter Reuters Holdings PLC, TO: Jul. 25, 1997;

Jobs, Steven Apple Computer, TO: Mar. 23, 1999;

Johnidis, Helen, TO: Apr. 20, 1995

Johnidis, James, TO: Apr. 20, 1995

Johnson, Charles E. Templeton Worldwide Inc., TO: May 1,
1995

Johnson, Clark A. Pier 1 Imports, FROM: Sep. 3, 1996; Jan.
29, 1997; TO: Feb. 21, 1997

Johnson, Douglas Cravath, Swaine & Moore, TO: Dec. 23,
1996;

Johnson, Eddie Bernice US House of Representatives, TO:
Mar. 27, 1995

Johnson, Edward C. Fidelity Brokerage Services, Inc., TO:
Mar 2, 1995; Apr. 20, 1995; Jun. 7, 1995

Johnson, Manuel H. Johnson Smick International, Inc., TO:
Mar. 16, 1999; Nov. 27, 2000;

Johnson, Marlene M. US Office of Management Services and
Human Resources, FROM: Mar. 17, 1995; Mar. 23, 1995;
TO: Apr. 5, 1995

Johnson, Melvin E. G.R. Phelps & Co., Inc., TO: Apr. 20,
1995

Johnson, Roger W. Young Presidents' Organization, FROM:
Aug 17, 1999; TO: Oct. 27, 1999;

Johnson, Sam US House of Representatives, TO: Mar. 27,
1995

Johnson, William P. Equitable Securities Corporation, TO:
Aug. 23, 1995

Jones, B. Todd US Attorney (designate), MN, TO: Jul. 27,
1998;

Jones, Anne P., TO: Mar. 16, 1999;

Jones Gregory US SEC - WWW project leader, TO: Sep. 29,
1995

Jones, J. Rick Department of Financial Institutions, KY, TO:
Apr. 21, 1995

Jones, Michael, FROM: Aug. [...], 1996; TO: Aug. 8, 1996

Jones, Michael D. National Association of Securities Dealers,
Inc., FROM: Feb. 19, 1997; TO: Apr. 9, 1997;

Jones, Stephanie Tubbs US House of Representatives,
FROM: May 9, 2000; TO: Jun. 20, 2000;

Jones, Thomas Russell, FROM: Jun. 23, 1995 (Bill
Richardson); TO: Sep. 12, 1995

Jonsson, Dave, TO: Apr. 20, 1995

Jordan, Ann Dibble, TO: Apr. 20, 1995; May 2, 1996

Jordan, Jon B. Baker & Botts, LLP, FROM: Nov. 12, 1999;
TO: Nov. 30, 1999; Mar. 7, 2000;

Jordan, Vernon Akin Gump Strauss Hauer & Feld LLP, TO:
Dec. 20, 1995

Jorion, Philippe University of California, Graduate School
of Management, FROM: Jan. 31, 1995; Aug. 26, 1996; TO:
Feb. 27, 1996; Sep. 4, 1996;

Joseph, Max, TO: Jun. 4, 1996

Joseph, Stephanie R. Directors' Network, Inc., TO: Jan. 10, 1995

Joyce, Thomas M. Merrill Lynch & Co, Inc., FROM: Aug. 5, 1999; TO: Aug. 19, 1999;

Judge, Steve Securities Industry Association, FROM: Oct. 16, 1995; TO: Nov. 8, 1995

Junkins, Jerry R. Texas Instruments, TO: May 1, 1995

Juroe, Susan Public Housing Authorities Directors' Association, TO: Jan. 9, 1997;

Kader, Lewis Davis Polk & Warwell, TO: Jan. 29, 2001;

Kalaris, Thomas Barclays Capital, TO: Jan. 5, 1999;

Kallio, William American Association of Retired Persons, TO: May 14, 1998;`

Kambil, Ajit New York University - Leonard N. Stern School of Business, TO: Oct. 10, 1995

Kamen, Harry P. Metropolitan Life Insurance Company, TO: Mar 2, 1995; Apr. 20, 1995

Kanarek, Larry McKinsey & Co., TO: Jun. 13, 2000;

Kandel, Andrew Office of the Attorney General, FROM: Apr. 6, 1998; TO: May 29, 1998;

Kangas, Edward A. Deloitte Touche Tohmatsu International, FROM: Nov. 27, 1996; TO: Dec. 11, 1996;

Kanjorski, Paul E. US House of Representatives, FROM: May 9, 2000; TO: Sep. 30, 1998; May 6, 1999; Jun. 20, 2000;

Kann, Peter R. Wall Street Journal, FROM: Sep. 13, 1994; TO: Dec. 23, 1998; Feb. [10], 1999;

Kantor, Michael US Department of Commerce - Secretary, TO: Nov. 5, 1996

Kaplan, Adam E. Williams College, FROM: Feb. 28, 1995; TO: Mar. 29, 1995

Kaplan, Maurice C., FROM: Jan. 8, 1998; TO: Jan. 23, 1998;

Kaptur, Marcy US House of Representatives, FROM: Oct. 10, 1996; TO: Dec. 10, 1996

Kar, Pratip Securities and Exchange Board of India, FROM: Feb. 28, 1998; TO: (Mehta, D. R.) Mar. 13, 1995

Karpus, George W. Karpus Investment Management, FROM: Mar. 1, 1999; TO: Mar. 16, 1999;

Kasich, John R. US House of Representatives, FROM: Feb. 13, 1998; TO: Jan. 19, 1996; Mar. 4, 1998

Kasper, F. Van Van Kasper & Co.; First Security Van Kasper;
FROM: Feb. 21, 1996; Nov. 16, 1999; TO: Jan. 12, 2000;

Kasputys, Joseph E. Primark Corporation, FROM: Aug. 29,
1995 (Filed under Morella, Oct. 20, 1995)

Kasten, George F. Robert W. Baird & Co., Inc., TO: Apr. 20,
1995; Jun. 7, 1995

Kaswell, Stuart Securities Industry Association, TO: Sep. 13,
1995

Katz, Barbara J. US SEC - Division of Enforcement, TO: Jan.
21, 1998;

Katsoris, Constantine N. Fordham University, FROM: Nov.
1, 1995; May 15, 1997; Jun. 9, 1997; TO: Nov. 27, 1995;
May 28, 1997; Jun. 18, 1997;

Katz, Jonathan G. US SEC - Secretary, TO: Oct. 4, 1995

Katz, Miri Israel Securities Authority, FROM: May 4, 1998;
Feb. 15, 2000; TO: May 14, 1998; Mar. 14, 2000; Jan. 24,
2001;

Katz, Robert Goldman Sachs & Co., TO: Mar. 6, 1996; Jan.
30, 1997;

Katzenberg, E. Walter, FROM: Feb. 11, 2000; TO: Mar. 7,
2000;

Kaufman, Henry Henry Kaufman & Co., Inc., FROM: Jan.
28, 2000; TO: Feb. 8, 2000; Jan. 29, 2001;

Kaufman, Stephen P. Arrow Electronics, Inc., FROM: Jun.
13, 1996; TO: Jun. 25, 1996;

Kaye, Herma Hill University of California, Berkeley, CA -
School of Law, TO: Sep. 8, 1999

Kearns, William M. W.M. Kearns & Co, Inc., FROM: Apr. 8,
1998; Aug. 10, 1999 (RE: Best, Michael); TO: Apr. 15, 1998;
Aug. 20, 1999;

Keck, Lynne A. Keck Securities, TO: Jan. 4, 1995

Keeble, John B. Investors Financial Group, TO: Apr. 20,
1995

Keefe, Mary US SEC - Midwest Regional Office, TO: Oct. 16,
1995; Dec. 30, 1996; Mar. 10, 1998;

Keesal, Samuel A. Keesal, Young & Logan, TO: Feb. 23,
1995

Kelley, Aloysius P. Fairfield University, FROM: Aug. 18,
1993; TO: Aug. 25, 1993

Kelley, Colleen M. National Treasury Employees Union,
FROM: Jan. 5, 2000; TO: Feb. 7, 2000; Jun. 15, 2000;

Kelly, Janet Langford Sara Lee Corp., TO: Apr. 30, 1998;

Kelly, Louise New York Stock Exchange, TO: Feb. 17 1995

Kelly, William Association of Local Housing Finance Agencies, TO: Jan. 9, 1997;

Kendall, Leon T. Kellogg Graduate School of Management, FROM: May 13, 2000; TO: Jun. 20, 2000

Kennard, William E. Federal Communications Commission, FROM: Oct. 29, 2000; TO: Jan. 25, 1999; Oct. [29], 2000;

Kennedy, Anthony M. US Supreme Court, TO: Oct. 5, 1998;

Kennedy, Bernard J. National Fuel Gas Company, TO: Dec. 5, 1997

Kennedy, D. James Coral Ridge Ministries, FROM: Feb. 1995; TO: (Barbara B. Hannigan) Mar. 27, 1995

Kennedy, Joseph P. US House of Representatives, FROM: Oct. 10, 1996; TO: Dec. 10, 1996;

Kenney, Nancy US SEC, TO: Oct. 4, 2000;

Kerry, John F. US Senate, FROM: Jun. 11, 1996; Nov. 18, 1997; TO: Jun. 19, 1996; Dec. 11, 1997;

Keslinke, Betteann Howe Barnes Investments, Inc., TO: Sep. 13, 1995

Kesner, Harvey J. American Banknote Corporation, FROM: Feb. 15, 1996; TO: Mar. 11, 1996

Ketchum, Richard National Association of Securities Dealers, Inc., FROM: Feb. 5, 1997; TO: Feb. 14, 1997

Keyfauver, Terry US SEC, TO: Sep. 29, 1995

Kidney, James [US SEC], TO: Nov. 1, 2000;

Kidwell, Lyndon DLS Group, Inc., TO: Feb. 17, 1995

Kieffer, Charles Commissaire aux Bourses, Luxembourg, TO: May 7, 1996

Kigin, Ryan J. Boy Scouts of America, TO: Jun. 16, 1998;

Kilcollin, T. Eric Chicago Mercantile Exchange, FROM: Feb. 18, 1997; TO: Mar. 4, 1997;

Kilpatrick, Carolyn C. US House of Representatives, FROM: Nov. 20, 1997; TO: Jan. 20, 1998

Kim, Irene University of California, Berkeley, CA, FROM: Oct. 24, 2000; TO: Oct. 27, 2000;

Kim, Yong-Hwan Ministry of Finance and Economy, Korea, FROM: Apr. 27, 1995; TO: May 15, 1995

Kimball, Jennifer US SEC - Office of Public Affairs, FROM:
Nov. 20, 1995; TO: Sep. 29, 1995

Kind, Ron US House of Representatives, FROM: Jan. 20,
2000; TO: May 19, 2000;

King, Peter T. US House of Representatives, FROM: Apr. 27,
1995; TO: May 12, 1995

King, William H. Indiana Bankers Association, IN, FROM:
Apr. 17, 1996; TO: Apr. 22, 1996

Kingland, David J. Kingland Capital Corporation, TO: Sep.
13, 1995

Kingsley, Daniel T. National Venture Capital Association,
FROM: Jun. 16, 1997; TO: Jul. 1, 1997;

Kirby, Charles US SEC - Production Support, TO: Sep. 29,
1995

Kiriwat, Ekamol Securities and Exchange Commission,
Bangkok, Thailand, TO: Mar. 22, 1995; Apr. 7, 1995

Kirk, Ken P. Association of Metropolitan Sewerage Agencies,
TO: Jan. 9, 1997;

Kirkpatrick, Willis F. Administrator of Securities, AK,
FROM: Nov. 28, 1995; TO: Dec. 18, 1995

Kirstein, Philip L. Merrill Lynch Asset Management Group,
TO: Mar. 16, 1999;

Kittell, Donald Securities Industry Association, TO: Sep. 13,
1995

Klein, Andrea Prudential Securities, TO: Apr. 26, 1995

Klein, Andrew M., FROM: Jul. 29, 1993; TO: Aug. 9, 1993

Klein, John, FROM: May 24, 1996; TO: Jul. 31, 1996;

Klein, Justin P. Ballard, Spahr, Andrews & Ingersoll, LLP,
FROM: Jan. 4, 2000; TO: Mar. 8, 2000;

Klein, Mel, TO: Jan. 30, 1996;

Klein, Wayne Department of Finance, ID, TO: Apr. 21, 1995

Klink, Ron US House of Representatives, FROM: Oct. 10,
1996; Jun. 8, 2000; TO: Dec. 10, 1996; Nov. 3, 2000;

Klug, Scott L. US House of Representatives, FROM: Dec. 5,
1997; TO: Feb. 18, 1997; Mar. 5, 1997; Dec. 31, 1997;

Kochis, S. Timothy Certified Financial Planner Board of
Standards, FROM: Mar. 10, 1995; TO: Apr. 4, 1995

Koenen, Austin V. Morgan Stanley & Co, Inc., TO: May 29,
1996

Koh Beng Seng Banking and Financial Institution Group,
Singapore, TO: Apr. 6, 1995; May 5, 1995; May 7, 1996

Kohl, Helmut Chancellor of the Federal Republic of
Germany, TO: May 7, 1997; Feb. 23, 1998 (filed under
Kornblum, March 2, 1998)

Kohler, Klaus Deutsche Bank AG, Germany, FROM: Feb. 10,
1998; TO: Mar. 4, 1998

Kolton, Paul, TO: Mar. 16, 1995; Apr. 11, 1995; Oct. 5,
1995; May 27, 1997(Balamaci, N.)

Komansky, David H. Merrill Lynch & Co. Inc.; Merrill
Lynch, Pierce, Fenner & Smith Inc., FROM: Apr. 17, 1998;
Apr. 27, 1998; TO: Nov. 6, 1996; Jul. 16, 1997; Aug. 15,
1997; Oct. 17, 1997; Apr. 6, 1998; Apr. 8, 1998; Apr. 27,
1998; May 7, 1998; May 8, 1998; Jul. 21, 1998; Oct. 22,
1998; Nov. 23, 1998; Dec. 28, 1998; Jan. 5, 1999; Jan. 29,
2001

Komives, Michael, FROM: Jan. 6, 1994; TO: Jan. 26, 1994

Koning, Erik Boy Scouts of America, TO: Mar. 24, 1998;

Kontos, Arthur Sherwood Group, Inc., FROM: Jan. 25, 1995;
TO: Feb. 9, 1995

Koplovitz, Kay Koplovitz & Company, FROM: Jun. 8, 1999
(RE: Broadway Television Network);

Koppes, Richard California Public Employees' Retirement
System, CA, [1993 - Nov. 1996]

Korins, Leopold Pacific Stock Exchange, FROM: Jan. 30,
1995; May 3, 1995; Oct. 12, 1995; Jan. 12, 1996; May 27,
1999; TO: Jan. 12, 1995; Feb. 17, 1995; May 31; 1995 (See
R. Bennett, Jun. 7, 1995); Oct. 25, 1995; Nov. 15, 1995;
Jan. 30, 1996; May 8, 1996; Jun. 15, 1999;

Kravis, Jonathan Williams College Debate Union, FROM:
Jul. 7, 1998;

Kreider, Gary P. Keating, Muething & Klekamp, FROM: Jan.
17, 1997; TO: Feb. 4, 1997

Krongard, A.B. Alex Brown & Sons, Inc., FROM: Oct. 18,
1996; Apr. 8, 1998; TO: Sep. 13, 1996; Apr. 21, 1998;

Kornblum, John C. US Ambassador, Germany, TO: Mar. 2,
1998

Koskinen, John White House - Assistant to the President on
Y2K conversion, TO: Jun. 9, 1999;

Kostikov, Igor Federal Commission for the Securities
Market, Russia, TO: Jan. 24, 2001;

Kovener, Donald W. US SEC - Office of Administrative and
Personnel Management, TO: Oct. 6, 1997; Nov. 24, 1999;

Kraft, Robert New England Patriots, TO: Oct. 7, 1998;

Kramer, Peggy US SEC, Jan. 1997

Krat, Gary W. Royal Alliance Associates, Inc., TO: Apr. 20, 1995

Krouse, James M. National Association of State Auditors, Comptrollers & Treasurers, TO: Jan. 9, 1997;

Krumm, DiAnne, TO: Apr. 20, 1995

Kunin, Madeleine May US Ambassador, Switzerland, FROM: Jan. 8, 1999; TO: Jan. 20, 1999;

Kuperberg, Martin A. US SEC - Northeast Regional Office, FROM: Jan. 31, 1996; TO: Feb. 9, 1996;

Kurdy, Kali Borah High School, TO: May 1, 2000;

Kwalwasser, Edward New York Stock Exchange, TO: Feb. 17, 1995; Dec. 5, 1995

Kulikowski, James M. US House of Representatives, TO: Dec. 11, 1995

Kyl, Jon US Senate, FROM: Jul. 24, 1995; Nov. 17, 1995; TO: Sep. 12, 1995; Jan. 2, 1996

LaFalce, John US House of Representatives, FROM: Oct. 10, 1996; May 9, 2000; TO: Mar. 16, 1995; Dec. 10, 1996; Sep. 30, 1998; May 26, 1999; Jun. 20, 2000;

Labrecque, Thomas G. Chase Manhattan Corp., FROM: Oct. 3, 1996; TO: Oct. 18, 1996; Jan. 5, 1999;

Laby, Arthur US SEC, TO: Aug. 26, 1997;

Lacher, Roland Singulus Tehcnologies GmbH, Germany, TO: Apr. 25, 1997;

Lackritz, Marc E. Securities Industry Association, FROM: Jul. 27, 1993; Dec. 14, 1995; Jan. 30, 1995; Oct. 16, 1995; May 22, 1996; Jul. 22, 1996; Jan. 30, 1997; May 30, 1997; Jun. 12, 1997; Sep. 24, 1999; TO: Aug. 25, 1993; Jan. 10, 1995; Jan. 18, 1995; Feb. 17 1995; Apr. 20, 1995; Jun. 7, 1995; Nov. 8

Lader, Philip US Small Business Administration; US Ambassador to UK, FROM: Jun. 16, 1995; May 12, 1999; TO: Jul. 7, 1995; Jan. 29, 1997; Jun. 7, 1999;

Lai, Mary M. Long Island University, FROM: Aug. 2, 1995; TO: Aug. 7, 1995

Lake, Anthony Assistant to the President for National Security Affairs, White House, TO: [Mar. 14], 1995; Nov. 5, 1996

Lambert, Robert Financial Times, FROM: Feb. 10, 1998; TO: Feb. 18, 1998;

Lambiase, Ralph A. Department of Banking, CT - Division of Securities, TO: Feb. 17, 1995; Oct. 19, 2000; TO: Apr. 21, 1995

Lam, Robert M. Securities Commission, PA, FROM: Mar. 10, 1995; Mar. 3, 1998; Apr. 9, 1998; TO: Mar. 27, 1995; Apr. 21, 1995; Apr. 15, 1998; Apr. 16, 1998;

Lamm, Norman Yeshiva University, FROM: Sep. 21, 1993

Lanchart, Irving, TO: Apr. 20, 1995

Lane, Brian US SEC - Division of Corporation Finance, TO: Feb. 13, 1998; May 14, 1998;

Lane, Neal National Science Foundation, TO: Oct. 10, 1995

Lang, Nancy, TO: Apr. 20, 1995

Lang, Robert Todd. Weil, Gotshal & Manges LLP, FROM: Feb. 14, 1995; TO: Feb. 24, 1995

Langevoort, Donald C. Vanderbilt University School of Law, FROM: Mar. 25, 1997; TO: Dec. 23, 1996; Apr. 17, 1997

Langley, R. Warren Pacific Stock Exchange, TO: Mar. 7, 1997;

Langner, Jay B., FROM: Jul. 13, 1995

Lantos, Tom US House of Representatives, FROM: Aug. 3, 1993; May 14, 1997; Jan. 5, 1998; TO: Aug. 16, 1993; Jan. 20, 1998;

Large, Andrew Securities and Investment Board, UK; Barclays Bank PLC, UK, FROM: May 11, 1995; [May] 19, 1995; Jun. 21, 1995; Nov. 4, 1996; Dec. 20, 1996; Oct. 6, 1999; TO: May 18, 1995; May 26, 1995; Jul. 7, 1995; Sep. 19, 1996; Nov. 22, 1996; Dec. 26, 1996; Dec. 30, 1996; Sep. 28, 1999; Oct. 25, 1999;

Largent, Steve US House of Representatives, FROM: [n.d.]; TO: Feb. 18, 1997; Mar. 5, 1997; Dec. 23, 1998;

Larson, Peter Brunswick Corporation, TO: Feb. 19, 1999;

Laskawy, Philip A. Ernst & Young, LLP, TO: Nov. 27, 2000;

Lasser, Lawrence J. Putnam Investments, FROM: Aug. 30, 1999; TO: Sep. 16, 1999

Lateef, Noel V. Foreign Policy Association, TO: May 17, 1996;

Lau, Mimi National Association of Securities Dealers, Inc., TO: Feb. 17, 1995

Lauk, Kurt J. VEBA Aktiengesellschaft, Germany, FROM: Oct. 2, 1995; TO: Oct. 10, 1995

Laurie, Marilyn AT&T, FROM: Feb. 28, 1997; TO: Mar. 6, 1997;

Lausberg, Cheryl E. Senator, Republic of South Africa, TO: Mar. 7, 1995

Lawrence, Carmen J. US SEC - Northeast Regional Office, TO: Dec. 30, 1996;

Lawson, Rochelle US SEC - Office of Investor Education and Assistance, TO: Mar. 29, 2000;

Lay, Kenneth L. Enron Corporation, TO: Jun. 13, 2000;

Lazio, Rick US House of Representatives, FROM: Apr. 24, 1998 (filed under Bliley, Jun. 5, 1998); TO: Feb. 18, 1997; Mar. 5, 1997;

Leach, James A. US House of Representatives, FROM: Jun. 6, 1995; Jan. 2, 2001; TO: May 8, 1995 (filed under Robert Rubin, May 16, 1995) ; Jun. 9, 1995; May 28, 1997; Sep. 30, 1998; Jan. 29, 2001;

Leahy, Patrick US Senate, FROM: Sep. 25, 1997; TO: Oct. 6, 1997;

Ledes, John G. Beauty Fashion, FROM: Dec. 10, 1996

Ledford, Chip National Association of Securities Dealers, Inc., TO: Feb. 17, 1995

Lee, Barbara US House of Representatives, FROM: May 9, 2000; TO: Jun. 20, 2000;

Lee, Bill Lann US Department of Justice, TO: Mar. 16, 2000;

Lee, Sheila Jackson US House of Representatives, TO: Mar. 27, 1995

Lee, Shepard Lee Auto Malls, FROM: Dec. 5, 2000;

Lee, Yong-Keun Financial Supervisory Commission, Korea, FROM: Apr. 11, 2000; TO: Apr. 20, 2000;

LeFrak, Samuel J. LeFrak Organization, FROM: Sep. 7, 1993; TO: Sep. 15, 1993

Lehner, Daniel A. Inflight Newspapers, Inc., FROM: Aug. 25, 1993; TO: Sep. 13, 1993

Leichter, Franz S. State Senate, NY, FROM: Apr. 3, 1997; TO: Apr. 15, 1997;

Leighton, Paul J. MidAmerican Energy Holdings Company, FROM: Dec. 3, 1997; TO: Dec. 11, 1997

Leiman, Leonard M. Fulbright & Jowarski, FROM: Oct. 20, 1997; TO: Oct. 28, 1997;

Leisenring, James J. Financial Accounting Standards Board, FROM: Apr. 15, 1998; TO: May 4, 1998;

Lerach, William S. Milberg Weiss Bershad Hynes & Lerach,
FROM: Feb. 26, 1997; Sep. 17, 1997; TO: Mar. 13, 1997;
Nov. 14, 1997;

Lev, Baruch New York University - Leonard N. Stern School
of Business, TO: Jun. 13, 2000;

Levin, Carl US Senate, FROM: Oct. 19, 1995; Nov. 14, 2000;
TO: Nov. 13, 1995; Nov. 20, 1997; Apr. 20, 1999; May 30,
2000; Dec. 12, 2000 (Becker, David);

Levin, Ezra G. Kramer, Levin, Naftalis, Nessen, Kamin &
Frankel, TO: Mar. 8, 1995

Levin, Jerry Time Warner, TO: Apr. 6, 1995

Levin, Wilbur A. County Clerk, Brooklyn, NY, FROM: Oct.
17, 1995; TO: Nov. 7, 1995

Levine, David US SEC - Division of Enforcement, TO: Oct.
14, 1999;

Levine, Lawrence W., FROM: Jan. 12, 1995; TO: Feb. 21,
1995

Levine, Theodore A. Paine Webber Group, Inc., FROM: Aug.
2, 1993; TO: Aug. 9, 1993; Oct. 23 1995; Jan. 30. 1997;

Levitt, Arthur, III, FROM: Sep. 12, 1995

Levitt, Frederick Packaging Products Corporation, TO: Apr.
20, 1995

Levitte, Jean-David Consellier Diplomatique ala Presidence,
Paris, France, TO: Feb. 2, 1996

Lewis, Drew Union Pacific Corp., FROM: Jul. 1, 1996; TO:
Jul. 16, 1996;

Lewis, John US House of Representatives, FROM: Oct. 10,
1996; Nov. 20, 1997; TO: Dec. 10, 1996; Jan. 20, 1998;

Lewis, Loida Nicholas TLC Beatrice Holdings International,
Inc., TO: Dec. 23, 1998;

Lewis, Wilma US Attorney, TO: Nov. 12, 1998 (RE: Zarb,
Frank);

Lewis, William M., Jr. Morgan Stanley Dean Witter, TO:
Oct. 15, 1999;

Li, Laurence Securities and Futures Commission, Hong
Kong, TO: Aug. 9, 2000;

Liang, Paul PBS Partners, LLC, FROM: Aug. 10, 1999; TO:
Sep. 2, 1999

Liberman, Joseph I. US Senate, FROM: Mar. 21, 2000; TO:
Mar. 31, 2000;

Lichtenberger, Vincent US SEC - Southeast Regional Office,
TO: Apr. 15, 1996

Liebenberg, Christopher Minister of Finance, Republic of
South Africa, TO: Mar. 7, 1995

Lieberman, Joseph I. US Senate, FROM: Nov. 19, 1996; TO:
Dec. 18, 1996; Nov. 20, 1997;

Liftin, John M. Kidder, Peabody & Co., FROM: Jul. 25,
1996; TO: Aug. 21, 1996; Aug. 29, 1997;

Liman, Lewis J. Assistant US Attorney, FROM: Jul. 2, 1998;

Limber, Trudy, TO: Apr. 20, 1995

Lin, S. D. Taiwan Stock Exchange Corp., Taipei, TO: Aug. 8,
1995

Lin, Tzong-Yeong Securities and Futures Commission,
Taiwan, TO: Sep. 23, 1998;

Linden, Derek National Association of Securities Dealers,
Inc., TO: Feb. 17, 1995

Lindros, Carl Santa Barbara Securities, TO: Apr. 20, 1995

Lindsay, Richard R. US SEC - Division of Market Regulation,
TO: Feb. 13, 1998; Mar. 10, 1998; Aug. 31, 1998;

Linnehan, John National Association of Securities Dealers,
Inc., TO: Feb. 17, 1995

Linowitz, Sol. M., FROM: Aug. 9, 1993; TO: Aug. 24, 1993

Linsmeier, Thomas J. American Accounting Association,
FROM: Apr. 10, 1998; TO: Apr. 30, 1998;

Linton, Robert E. Leslie/Linton Entertainment, FROM: Jul.
27, 2000; TO: Aug. 15, 2000; Aug. 21, 2000;

Lipe, Robert C. University of Oklahoma, OK - School of
Accounting, FROM: Apr. 30, 1998; TO: Jun. 5, 1998;

Lipinski, William O. US House of Representatives, FROM:
Oct. 10, 1996; TO: Dec. 10, 1996;

Lipner, Kenneth, FROM: Jun. 13, 2000; TO: Jul. 17, 2000;

Lipper, A. Michael Lipper Analytical Services, FROM: Dec.
31, 1994; Sep. 25, 1997; TO: Jan. 19, 1995; Oct. 3, 1997;

Lipper, Kenneth, FROM: Jan. 29, 1999; TO: Feb. 25, 1999;
Jun. 22, 1999;

Lipton, Martin Wachtell, Lipton, Rosen & Katz, TO: Oct. 23,
1995; Mar. 6, 1996

Lister, Steven American Stock Exchange, TO: Dec. 5, 1995

Litan, Robert Brookings Institution, TO: Aug. 16, 1999; Oct.
14, 1999;

Littrell, Romie F. Shen Da University, People's Republic of China, FROM: Nov. 30, 1995; TO: Jan. 2, 1996

Livingston, Philip B. Financial Executives Institute, FROM: May 20, 1999; TO: Jun. 4, 1999;

Livingston, Robert US House of Representatives, TO: Feb. 17, 1995; Nov. 15, 1995; Jan. 3, 1996; Jan. 19, 1996; Feb. 9, 1996; Oct. 2, 1996; Mar. 13, 1998; Jul. 20, 1998; Jan. 4, 1999;

Liu, Hong China Securities Regulatory Commission, People's Republic of China, FROM: Aug. 26, 1997 (filed under Zhou, Zhengqing, Sep. 26, 1997); Nov. 27, 1997 (filed under Zhou, Zhengqing, Dec. 5, 1997)

Livingston, Homer J. Chicago Stock Exchange, FROM: Aug. 3, 1993; TO: Aug. 9, 1993; Jan. 12, 1995; Feb. 17, 1995

Livingston, Lennard L., TO: Apr. 20, 1995

Lloyd, Emily Columbia University, FROM: Sep. 2, 1997;

Lochner, Philip R., Jr., FROM: Jan. 31, 1996; Feb. 1, 1996; May 28, 1997; Sep. 23, 1999; TO: Feb. 8, 1996; Mar. 6, 1996; Jun. 27, 1997; Oct. 25, 1999;

Loeb, Peter K., FROM: Dec. 16, 1996; TO: Jan. 22, 1997;

Lofgren, Zoe US House of Representatives, FROM: Oct. 10, 1996; TO: Dec. 10, 1996

Logson, Neva S., TO: Apr. 20, 1995

Logue, Dennis E. Dartmouth College, TO: Apr. 26, 1995

Long, Clay Long, Aldridge & Norman, TO: Mar. 7, 1997 (RE: Arms, Abbie)

Long, G. US SEC, FROM: Mar. 31, 1994 (Morrow, C. - personal file)

Long, Ronald C. US SEC - Philadelphia Office, TO: Dec. [17], 1997; Sep. 8, 2000;

Longstaff, John L. Institute for Certified Financial Planners, FROM: Mar. 13, 1996; TO: Mar. 29, 1996

Longstreth, Bevis Debevoise & Plimpton, TO: Nov. 27, 2000;

Lopez, Ivette US SEC - Division of Market Regulation, TO: Feb. 17 1995

Lorlo, Rene Walnut Street Securities, TO: Apr. 20, 1995

Lorne, Simon M. Salomon Brothers, Inc., FROM: Jan. 31, 1997; TO: May 11, 1995; Feb. 26, 1997; Aug. 29, 1997;

Loss, Louis Harvard University - School of Law, FROM: mar. 16, 1995; TO: Jan. 27, 1995; Apr. 18, 1995

Lott, Trent US Senate, FROM: Aug. 8, 1995; TO: Aug. 29, 1995

Lovejoy, Thomas Smithsonian Institution, TO: Oct. 19, 1995

Lowenstein, Louis Columbia University, FROM: May 1, 1996; Nov. 24, 1998; TO: Mar. 6, 1996; May 14, 1996; May 27, 1997(Balamaci, N.); Dec. 1, 1998;

Lowenstein, Roger, FROM: May 1, 1995; TO: May 16, 1995

Lowey, Nita W. US House of Representatives, FROM: Apr. 27, 1995; TO: May 12, 1995

Lubner, Bertie Plate Glass and Shatterprufe Industries, Ltd.; Republic of South Africa, TO: Mar. 7, 1995

Luccock, Phillip H. Institute for Certified Financial Planners, TO: May 14, 1998;

Ludwig, Eugene A. Comptroller of the Currency; Bankers Trust; Promontory Financial Group, FROM: Mar. 16, 1998; Sep. 3, 1999; TO: Dec. 5, 1997; Apr. 6, 1998; Sep. 14, 1999; Jan. 29, 2001;

Luecke, Richard Harvard University - Graduate School of Business Administration, TO: May 1, 1995

Lugar, Richard G. US Senate, FROM: Dec. 17, 1999; TO: Jul. 25, 1997; Mar. 2, 2000;

Luikart, John F. Sutro & Co., FROM: Mar. 5, 1996; TO: Mar. 19, 1996;

Lundquist, Oliver, FROM: Dec. 1, 1998; TO: [Dec. 1], 1998;

Lupberger, Edwin Entergy Corporation, TO: Dec. 5, 1997

Lupia, Terry A. Securities Commission, PA, TO: Apr. 20, 1995

Lutz, William D. Rutgers - State University of NJ, TO: Jun. 22, 1995; Aug. 21, 1996

Lyman, Princeton N. US Embassy, Republic of South Africa, TO: [Mar. 14], 1995

Lynch, Brian J. Morgan, Lewis & Bockius, LLP., TO: Dec. 20, 1996; Dec. 23, 1996;

Lynch, Gary Davis Polk & Warwell, TO: Mar. 5, 1998;

Lynch, Peter, TO: Apr. 20, 1995; May 2, 1996

Lyons, James E., FROM: Aug. 17, 1993; TO: Sep. 13, 1993

Lyons, William M. American Century Investments, TO: Apr. 17, 1998;

Macaleer, James R. Shared Medical Systems, TO: Sep. 30, 1997;

Macedo, Augusto, TO: Jan. 30, 1995

Machold, Roland M. New Jersey Department of Treasury,
Division of Investment, FROM: Mar. 14, 1995 (encl. To
Drysdale, Apr. 11, 1995); TO: May 1, 1995

Mack, Connie US Senate, FROM: Jun. 24, 1996; Dec. 7,
2000; TO: Jan. 30, 1995; Apr. 19, 1996; Jul. 18, 1996; Jan.
29, 2001;

Macklin, Gordon S., FROM: Aug. 2, 1993; TO: Aug. 9, 1993

MacLaury, Bruce K., TO: Mar. 16, 1999;

Maco, Paul S. US SEC - Office of Municipal Securities,
FROM: Aug. 25, 1995 (Richard Baker); Jun. 22, 1999; TO:
Aug. 4, 1995; May 27, 1999 (Mires, Charles D.)

Madden, Joe, Jr. Securities Department, AR, TO: Apr. 21,
1995

Maddux, Dan American Payroll Association, TO: Aug. 23,
1999;

Madoff, Andrew H. Bernard L. Madoff Investment
Securities, FROM: Feb. 12 1995; TO: Feb. 20, 1996

Madoff, Bernard L. Bernard L. Madoff Investment Securities,
FROM: Jan. 5, 1995; TO: Jan. 19, 1995; Dec. 19, 1995; Dec.
13, 1996;

Madoff, Peter B. Bernard L. Madoff Investment Securities,
FROM: Jan. 5, 1995; Jan. [12], 1996; Apr. 3, 1998; TO:
Jan. 19, 1995; Jan. 29, 1996; Apr. 6, 1998;

Madonna, Jon C. KPMG Peat Marwick, FROM: Nov. 21,
1995; Dec. 19, 1995; TO: Dec. 7, 1995; Jan. 2, 1996;

Maguire, Thomas P. International Union of Operating
Engineers, FROM: Sep. 6, 1996; TO: Sep. 30, 1996;

Maher, John A. Securities Commission, PA, FROM: Mar. 3,
1998; TO: Apr. 16, 1998;

Mahmud, Hasan Zein Jakarta Stock Exchange, Indonesia,
TO: May 5, 1995

Mahoney, Edward M. Fortis Investors Inc., TO: Apr. 20,
1995

Mai, Vincent A. AEA Investors, Inc., TO: Jan. 29, 2001

Majid, Mohamed Munir Bin Abdul Securities Commission,
Malaysia; IOSCO, TO: Mar. 22, 1995; May 5, 1995; Oct. 22,
1997; Sep. 10, 1998; Jun. 9, 1999;

Makens, Hugh Warner, Norcross & Judd, TO: Oct. 23 1995

Malamud, Carl Internet Multicasting Service, TO: Oct. 10,
1995

Malkin, Peter L. Wien & Malkin, LLP, FROM: Nov. 18, 1997;
TO: Nov. 24, 1997;

Malmenstam-Skytt, Birgit Swedish Shareholders
Association, Sweden, TO: Jun. 25, 1999;

Malone, Joseph Equitable Life Assurance Society, TO: Mar
2, 1995; Apr. 20, 1995; Jun. 7, 1995

Maloney, Carolyn B. US House of Representatives, FROM:
Apr. 27, 1995; Mar. 26, 1997; TO: May 12, 1995; Apr. 25,
1997;

Maloney, Robert H. Northwestern Mutual Life/Baird, TO:
Apr. 20, 1995

Malphrus, Stephen R. Financial Sector Group, FROM: Sep.
22, 1999; TO: Oct. 7, 1999;

Mandell, Robert US SEC - Division of Corporation Finance,
TO: Oct. 11, 1995

Mann, Michael D. US SEC - Office of International Affairs,
FROM: Feb. 22, 1995; Jan. 12, 1995 (Re: Iglesias); Mar. 6,
1995 (Re: Tyson); Apr. 17, 1997 (Re: Shin); Sep. 25, 1996;

Manning, Bayless Paul, Weiss, Rifkind, Wharton & Garrison;
Manning Companies, FROM: Oct. 28, 1998(RE: Hoyl,
Geoff); TO: Jan. 4, 1995; Jan. 3, 1996; Dec. 9, 1996; Jan. 5,
1998; Oct. 30, 1998; [Dec. 29], 1998;

Manton, Thomas J. US House of Representatives, FROM:
Apr. 27, 1995; Oct. 10, 1996; Feb. 27, 1997; Mar. 10,
1997(Giamo, Jennifer); Apr. 11, 1997; May 23, 1997 (filed
under Buffet, Warren, Aug. 25, 1997); May 27, 1997; Jun.
12, 1997; TO: May 12, 1995; Dec. 10, 1996; Mar. 5, 1997;
Mar. 14, 1997; Mar. 21

Marcelino, Juan Marcel US SEC - Boston District Office, TO:
Dec. 30, 1996;

Marcereon, Kenneth T. US SEC, TO: May 7, 1996;

Marcus, Gill Joint Standing Committee of Finance, Republic
of South Africa, FROM: Mar. 8, 1995; C65TO: Mar. 7, 1995;
Mar. 22, 1995

Markels, Michael VERSAR, Inc., FROM: Jul. 30, 1993; TO:
Aug. 4, 1993

Markese, John American Association of Individual
Investors, FROM: Oct. 6, 1999; TO: Apr. 14, 1998; Mar. 16,
1999; Oct. 14, 1999;

Markey, Edward J. US House of Representatives, FROM:
Mar. 13, 1995; Nov. 21, 1995; Mar. 26, 1996; Apr. 9, 1996;
Jun. 12, 1996; Dec. 16, 1996; Feb. 3, 1997; Mar. 19, 1997;
Apr. 28, 1997; May 23, 1997 (filed under Buffet, Warren,
Aug. 25, 1997); Jul. 11, 1997; Sep. 12, 1997; Mar. 3, 1998;
May 20, 1998;

Marks, Arthur J. New Enterprise Associates, FROM: Mar. 22, 1995; TO: May 1, 1995

Marquingny, Rebecca US SEC - Office of Equal Employment Opportunity, TO: Mar.30, 1999;

Marron, Donald B. PaineWebber, Inc., TO: Feb. 17, 1995; Mar 2, 1995; Mar. 27, 1995; Apr. 20, 1995; Jun. 7, 1995; Jan. 30, 1997; Oct. 17, 1997; Oct. 23, 1997; Apr. 8, 1998; Nov. 23, 1998; Jan. 29, 2001;

Marshall, Capricia Penavic White House - Social Secretary, FROM: Apr. 8, 1999 (RE: Clinton, William J.);

Marshall, Thurgood, Jr. White House - Cabinet Affairs Secretary, TO: May 27, 1998;

Martel, Jean Commission des Valeurs Mobilières du Québec, Canada, FROM: Feb. 27, 1996; TO: Mar. 14, 1996; Dec. 26, 1996;

Martin, Michael Equico Securities, Inc., TO: Mar 2, 1995; Apr. 20, 1995

Masanz, Timothy J. National Governors' Association, TO: Jan. 9, 1997;

Mason, Eli Mason & Company, LLP; AICPA, FROM: Jun. 6, 1996; Jul. 1, 1997; Oct. 27, 1997; Jan. 8, 1998; Jun. 21, 2000 (Schumer, Charles E.); TO: Jul. 3, 1996; Aug. 29, 1997; Dec. 5, 1997; Jan. 30, 1998;

Mason, Raymond A. Legg Mason, Inc., TO: May 1, 1995; Jun. 7, 1995; Dec. 10, 1997

Masterson, Michael M. Washington Square Securities, Inc., TO: Apr. 20, 1995

Mathias, Edward Carlyle Group, FROM: Feb. 9, 1996; TO: Mar. 11, 1996

Mathisen, Tyler, FROM: Apr. 10, 1998;

Matthews, Betty Consumer Credit Counseling Service, TO: May 14, 1998;

Mattimore, John US SEC - Southeast Regional Office, TO: Apr. 15, 1996

Mathur, Colette World Economic Forum, FROM: Sep. 18, 1997; TO: Nov. 20, 1997;

Maughan, Deryck C. Salomon Brothers, Inc.; Citigroup, TO: Feb. 17, 1995; Mar 2, 1995; Mar. 27, 1995; Apr. 20, 1995; Jun. 7, 1995; Nov. 6, 1996; Jan. 30, 1997; Apr. 10, 1997; Aug. 15, 1997; Oct. 17, 1997; Apr. 8, 1998; Jan. 29, 2001;

May, S. Beville, FROM: Feb. 26, 1996

Mayer, Martin Brookings Institution, FROM: Nov. 1, [1994]; TO: Jan. 11, 1995; Sep. 14, 1998

Mazur, Francois I. US SEC - Division of Market Regulation,
TO: Feb. 17 1995

McAlevey, Mike, TO: Jan. 10, 2001;

McAuliffe, Frank National Association of Securities Dealers,
Inc., TO: Feb. 17, 1995

McCabe, Mrs., TO: [n.d.]

McCall, H. Carl State Comptroller, NY, FROM: Aug. 3, 1993;
Dec. 23, 1997; Jan. 28, 1998; Apr. 7, 1998; Feb. 18, 1999;
TO: Aug. 18, 1993; Jan. 21, 1998; Mar. 4, 1998; Apr. 15,
1998; Mar. 15, 1999;

McCall, James H. California Capital Access Forum, CA,
FROM: Oct. 17, 1995; TO: Nov. 8, 1995

McCarrick, Theodore E. Archbishop of Washington, TO:
Jan. 23, 2001;

McCarthy, Carolyn US House of Representatives, FROM:
Jan. 20, 2000; TO: May 19, 2000;

McCaul, Elizabeth Banking Department, NY, FROM: Mar.
15, 2000; TO: Apr. 24, 2000;

McClellan, Kenneth Department of Commerce and
Insurance, TN, TO: Apr. 21, 1995

McCollum, Bill US House of Representatives, FROM: May
27, 1997; TO: May 29, 1997;

McConnaughey, Robert S. American Counsel of Life
Insurance, FROM: Oct. 31 1995; TO: Nov. 8, 1995;

McConnell, James M. US SEC - Executive Director, FROM:
Dec. 27, 1995; Aug. 26, 1998; TO: Oct. 4, 1995

McCracken, Paul W. University of Michigan, MI - School of
Business, FROM: Oct. 21, 1996; TO: Nov. 4, 1996;

McCreery, William G., FROM: Aug. 14, 2000; TO: Aug. 24,
2000;

McCullough, Brian US House of Representatives, TO: Mar.
5, 1997;

McDonald, Alonzo L., TO: Dec. 7, 1998;

McDonald, Robert Office of the Attorney General, TO: Apr.
21, 1995

McDonough, Gerald C., TO: Mar. 16, 1999;

McDonough, William J. Federal Reserve Bank of New York,
TO: Jan. 29, 2001;

McEldowney, Kenneth Consumer Action, FROM: Aug. 1,
2000; TO: Sep. 7, 2000;

McElroy, John L. Wheat, First Securities, Inc., TO: Mar 2, 1995; Apr. 20, 1995

McEvoy, John National Council of State Housing Agencies, TO: Jan. 9, 1997;

McGovern, Lore Harp, FROM: Apr. 13, 1999; TO: May 5, 1999;

McInerney, Alice Bureau of Investor Protection, TO: Apr. 21, 1995

McIntyre, Mildred J., FROM: Jul. 21, 1995

McInerney, Tom Welsh Carson Anderson & Stowe, TO: Aug. 16, 1999;

McIntosh, David M. US House of Representatives, FROM: Apr. 7, 1995; Mar. 28, 1996; Apr. 11, 1996; Dec. 11, 1996; Jan. 12, 1998; Aug. 3, 1999; TO: May 18, 1995; Aug. 10, 1995; Apr. 2, 1996; Apr. 22, 1996; Dec. 11, 1996; Mar. 19, 1997 (Walker, Richard); Apr. 9, 1997; Jul. 15, 1997 (Glassman, James); J

McKinney, Cynthia Ann US House of Representatives, FROM: Oct. 10, 1996; TO: Dec. 10, 1996;

McLagan, Bruce McLagan Partners Inc., TO: Apr. 26, 1995

McLaughlin, Joseph Brown & Wood, FROM: May 5, 1995; Dec. 20, 1996; Jan. 17, 1997; TO: May 22, 1995; Feb. 4, 1997

McLaughlin, Joseph T. Credit Suisse First Boston Corp., FROM: Aug. 14, 1997; TO: Aug. 26, 1997;

McLoughlin, Philip W.S. Griffith & Co, Inc., TO: Apr. 20, 1995

McLucas, William US SEC - Division of Enforcement, TO: Mar. 10, 1998; Aug. 3, 1998; Mar. 20, 2000;

McMichael, Kathy National School Boards Association, TO: Jan. 9, 1997;

McNees, Donald Towers Perrin, TO: May 1, 1995

McNeill, Corbin A., Jr. PECO Energy Company, TO: Dec. 5, 1997

McPhearson, D. Richard Nationwide Financial Services, Inc., TO: Apr. 20, 1995

McWhinney, Madeline H. Dale, Elliott & Co., FROM: Sep. 30, 1998; TO: Oct. 9 1998;

Meade, Dana G. Tenneco, Inc., FROM: Dec. 22, 1999; TO: Sep. 9, 1998; [Dec. 9], 1998; Dec. 23, 1998; Jan. 11, 1999; Apr. 30, 1999;

Mebane, G. Allen UNIFI Corporation, FROM: Aug. 21, 1996;
TO: Sep. 13, 1996;

Mecum, Dudley C., FROM: Aug. 17, 1993: TO: Aug. 25,
1993

Meehan, Martin T. US House of Representatives, FROM: Jul.
9, 1997; TO: Aug. 1, 1997; Nov. 14, 1997;

Meek, Carrie US House of Representatives, FROM: Nov. 20,
1997; TO: Jan. 20, 1998;

Mehta, D. R. Securities and Exchange Board, India, FROM:
Feb. 28, 1998 (see Kar, Pratip); Aug.30, 1995; Apr. 4, 1996;
Nov. 28, 1996; TO: Mar. 13, 1995; Nov. 8, 1995; Mar. 6,
1996; Apr. 11, 1996; Dec. 11, 1996; [Nov.]. 1999; Jan. 24,
2001;

Melvin, Christopher Melvin Securities, FROM: Aug. 1, 1997;
TO: Sep. 17, 1997;

Mendell, Oliver M. Chase Manhattan Bank, FROM: Mar. 9,
1998; TO: Mar. 16, 1998;

Mendoza. Gary Department of Corporations, CA
(Commissioner), TO: Apr. 21, 1995

Meier, Henri B. F. Hoffman-La Roche AG, Switzerland,
FROM: Feb. 21, 1996; TO: Feb. 27, 1996;

Melamed, Leo Chicago Mercantile Exchange, FROM: Feb.
18, 1997; TO: Mar. 4, 1997;

Melancon, Barry C. American Institute of Certified Public
Accountants, FROM: Jan. 5, 1996; May 12, 1998; TO: Jan.
29, 1996; Jun. 10, 1998; Nov. 27, 2000;

Melican, James P. International Paper, FROM: Feb. 14,
1995; TO: Mar. 17, 1995

Menezes, Victor Salomon Smith Barney Holdings Inc., TO:
Aug. 4, 1999;

Meridor, Dan Ministry of Finance, Israel, TO: Apr. 25, 1997;

Messenger, James H. National Financial Services
Corporation, TO: Oct. 23, 1997;

Mestres, Ricardo A. Sullivan & Cromwell, TO: Feb. 27,
1998;

Metz, M. Jeffrey Practicioners' Financial Advisors, Inc.,
FROM: Sep. 6, 1995; TO: Sep. 22, 1995

Metzenbaum, Howard M. Consumer Federation of America,
FROM: Mar. 17, 1995; TO: Apr. 10, 1995; Nov. 27, 2000;

Mayden, Barbara Bass, Berry & [Louis], TO: Feb. 15, 2000;

Meyer, Laurence H. Federal Reserve System - Board of Governors, FROM: Aug. 17, 1999; Feb. 8, 2000; TO: Sep. 2, 1999; Feb. 15, 2000; Nov. 27, 2000;

Meyer, Marsha Invested, FROM: May 31, 1995; TO: Jun. 20, 1995

Meyers, Tracy Securities Division, SC, TO: Apr. 21, 1995

Mfume, Kweisi US House of Representatives, FROM: Nov. 6, 1995 TO: Dec. 5, 1995

Mica, John L. US House of Representatives, FROM: Dec. 20, 1995; TO: Jun. 3, 1996

Michelson, G.G. R.H. Macy & Co., Inc., TO: Apr. 20, 1995; May 2, 1996

Mientkavich, Arie Israel Securities Authority; Israel Discount Bank Ltd., FROM: Dec. 6, 1994; May 19, 1995; Mar. 28, 1997; TO: Feb. 13, 1995; May 26, 1995; Feb. 27, 1996; Oct. 10, 1996; Apr. 4, 1997; Apr. 25, 1997; Oct. 5, 1998;

Mierzwinski, Edmund US Public Interest Research Group, FROM: May 9, 2000; Aug. 1, 2000; TO: Jun. 20, 2000; Sep. 7, 2000

Mukulski, Barbara US Senate, FROM: [n.d.] (personal file)

Mikva, Abner J. Counsel to the US President, TO: Apr. 10, 1995; May 5, 1995

Miles, Jerome A. William A. Jump Memorial Foundation, TO: Apr. 15, 1998;

Miller, Allan C. Los Angeles Times, TO: (Hall, Hannah R.) Apr. 18, 1995

Miller, Bob Governor, NE; National Governors' Association, FROM: Mar. 18, 1997; TO: Mar. 26, 1997;

Miller, Carolyn A. US SEC - Division of Corporation Finance, TO: Apr. 1, 1998; Nov. 17, 1998;

Miller, Charles Meridian Advisors, Ltd., TO: Mar. 28, 1995

Miller, Dave US SEC - Printing Department, TO: Oct. 6, 1997;

Miller, George US House of Representatives, FROM: Oct. 10, 1996; Dec. 10, 1997; TO: Dec. 10, 1996; Jan. 20, 1998;

Miller, Heidi Priceline.com, TO: Jan. 29, 2001;

Miller, Paul University of Colorado, CA - School of Law, FROM: May 23, 1997; TO: May 27, 1997(Balamaci, N.); Jun. 18, 1997;

Miller, Sam Scott Orrick, Herrington & Sutcliffe, TO: Apr. 26, 1995

Miller, Sarah American Bankers Association, TO: Jan. 9, 1997;

Miller, Thomas Polaris Financial Services, Inc., FROM: May 22, 1997; TO: Jun. 17, 1997;

Millstein, Ira M. Weil, Gotshal & Manges LLP, From: Jan. 29, 1996; Feb. 28, 1996; Mar. 9, 1998; Mar. 23, 1998; TO: Feb. 5, 1996; Mar. 20, 1996; May 8, 1996; Jul. 19, 1996; Nov. 6, 1996; Jul. 17, 1997; Apr. 1, 1998; Apr. 16, 1998; Jan. 29, 2001;

Milne, Kevin C., from: Nov. 7, 1995; to: Nov. 28, 1995
(Commission on White House Fellowships)

Milston, Martin J. J. H. Cohn & Co., FROM: Mar. 20, 1995; TO: Mar. 27, 1995

Mindel, Aaron Council of Development Finance Agencies, TO: Jan. 9, 1997;

Mingkang, Ling Bank of China, People's Republic of China, TO: Aug. 9, 2000;

Mink, Patsy US House of Representatives, FROM: Oct. 10, 1996; TO: Dec. 10, 1996

Minow, Newton M. Sidley & Austin, FROM: Oct. 5, 1998; TO: Apr. 30, 1998; Oct. 8, 1998;

Minow, Nell Lens, Inc., TO: Apr. 18, 1995

Mirat, Bernard IBCA S. A., Paris, France, FROM: Feb. 6, 1995; TO: TO: Mar. 8, 1995

Mires, Charles D. Allstate Insurance Company, FROM: May 27, 1999 (Maco, Paul, filed under Jun. 22, 1999)

Miron, Donald B. Paine Webber Group, Inc., FROM: Jul. 27, 1993; TO: Aug. 4, 1993

Mitchell, George J. US Senate, TO: Oct. 5, 1998;

Mizuhara, Toshihiro Securities and Exchange Surveillance Commission, Tokyo, Japan, FROM: Oct. 21, 1996; TO: Nov. 21, 1996

Mobius, J. Mark Templeton Emerging Markets Fund, Moscow, Russia, FROM: Sep. 4, 1996; TO: Sep. 30, 1996;

Mogg, J. F. International Market & Financial Services, Belgium, FROM: Sep. 29, 1995; TO: Oct. 24, 1995

Mohr, William H. North American Securities Administrators Association, Inc.- Investment Companies Sales Practice Committee, TO: Apr. 20, 1995

Moldaw, Stuart George, TO: Dec. 6, 1996;

Moler, Elizabeth A. Federal Energy Regulatory Commission, FROM: Apr. 4, 1997; TO: Apr. 16, 1997;

Molinari, Susan US House of Representatives, TO: Mar. 3, 1997; Mar. 24, 1997;

Moller, George A. Amsterdam Exchanges, Netherland, TO: Apr. 1, 1997

Moloney, James US SEC - Division of Corporation Finance, TO: Oct. [..], 1995

Monaco, Michael P. American Express Company, FROM: Oct. 31 1995; TO: Nov. 27, 1995;

Monaco, Nicholas A. US SEC - Southeast Regional Office, TO: Apr. 16, 1996

Monks, Robert A.G. Lens, Inc., FROM: Dec. 11, 1995; TO: Feb. 6, 1996

Monroe, Cecil Department of Insurance/Finance, OR, TO: Apr. 21, 1995

Monsen, Thomas, TO: Sep. 30, 1996;

Moore, Gordon E. Intel Corporation, FROM: Sep. 4, 1996; TO: Dec. 12, 1996;

Moore, Jim DGM Commodity Corp., FROM: Aug. 17, 1993; TO: Sep. 7, 1993

Moore, Michael US SEC, TO: Feb. 9, 2000;

Moore, Robert Salomon Smith Barney, TO: Oct. 14, 1999;

Moran, Frederick A. Moran & Associates, Inc., FROM: Jun. 5, 1995

Moran, James P. US House of Representatives, FROM: Jan. 19, 1995; Apr. 27, 1995; Jan. 20, 2000; Feb. 4, 2000; TO: Feb. 13, 1995; May 12, 1995; Mar. 14, 2000; May 19, 2000;

Morella, Constance A. US House of Representatives, FROM: Mar. 26, 1997; TO: Oct. 20, 1995; Apr. 25, 1997;

Moreno, Luis Miguel Comision Nacional De Valores, Mexico D.F., FROM: Aug. 8, 1993; TO: Aug. 24, 1993

Morgenthau, Robert M. District Attorney, New York, NY, TO: Nov. 27, 2000;

Morhart, Jim Senate Committee on Appropriations, TO: Oct. 19, 2000;

Morris, Earle E., Jr. Comptroller General, SC, FROM: Jun. 24, 1996; May 20, 1997; Oct. 27, 1997; Dec. 21, 1999; TO: Jul. 16, 1996; Nov. 13, 1997; Jan. 3, 2000;

Morris, Kenneth M. Siegel & Gale, TO: Jun. 22, 1995

Morris, Michael G. Northeast Utilities, TO: Dec. 5, 1997

Morrison, Frank Davis Polk & Warwell, TO: Mar. 5, 1998

Morrison, Thomas A., TO: Apr. 20, 1995

Morse, William E., FROM: Aug. 2, 2000; TO: Aug. [2-9], 2000;

Morton, William G., Jr. Boston Stock Exchange, FROM: Feb. 17 1995; Jan. 12, 1996; TO: Jan. 12, 1995; Feb. 17 1995; Mar. 13, 1995; Oct. 25, 1995; Jan. 30, 1996; Mar. 7, 1997; May 14, 1998; Feb. 22, 1999;

Mosbacher, Robert, FROM: Apr. 7, 1998; TO: Apr. 21, 1998;

Moseley-Braun, Carol US Senate, FROM: Nov. 3, 1995; Jan. 22, 1996; Oct. 29, 1996; Jun. 10, 1998; TO: Nov. 22, 1995; Feb. 8, 1996; Dec. 5, 1996; May 2, 1997; Jun. 29, 1998;

Moskowitz, Shelly Neighbor to Neighbor, FROM: May 9, 2000; TO: Jun. 20, 2000;

Moss, Frederick Cincinnati Stock Exchange, FROM: Dec. 1, 1995; TO: Jan. 12, 1995; Feb. 17 1995; Jan. 3, 1996; Mar. 7, 1997; Feb. 22, 1999;

Mostoff, Allan S. Dechert Price & Rhoads, TO: Jul. 7, 1995

Moynihan, Daniel Patrick US Senate, TO: Apr. 1, 1998;

Mpheli, Joseph US Embassy, Republic of South Africa, TO: Mar. 7, 1995

Muhammed, Mar'ie Ministry of Finance, Indonesia, TO: May 3, 1995

Muis, Jules W., FROM: Aug. 30, 2000 (filed under Norgaard, Erik, Sep. 20, 2000); [Nov. 1], 2000; TO: Nov. 7, 2000;

Mulford, David Credit Suisse First Boston Corp., TO: Apr. 8, 1998;

Muller, William J. Executive Assistant to US Attorney, Eastern District of NY, TO: Nov. 12, 1998 (RE: Zarb, Frank);

Mulligan, Deidre Center for Democracy and Technology, FROM: May 9, 2000; TO: Jun. 20, 2000;

Murin, Paul David A. Noyes & Co., TO: Sep. 13, 1995

Murphy, Michael STA International Committee, FROM: Jul. 10, 1995; TO: Aug. 8, 1995

Murphy, Tom Mayor, City of Pittsburgh, PA, FROM: Oct. 11, 1999; TO: Oct. 26, 1999 (Maco, Paul);

Murray, George A. Prudential Securities, TO: Apr. 20, 1995

Murray, Patti, FROM: Mar. 29, 1995

Murray, Vincent Bond Market Association, FROM: Oct. 29, 1998; TO: Nov. 23, 1998;

Murton, Vanessa Pace University - School of Law, TO: Jun. 18, 1997;

Mushalko, George American Association of Individual Investors, DC Chapter, TO: May 14, 1998;

Nader, Ralph Consumer Advocate, FROM: Nov. 24, 1995; TO: Dec. 11, 1995

Nadler, Jerrold US House of Representatives, FROM: Apr. 27, 1995; Oct. 10, 1996; TO: May 12, 1995; Dec. 10, 1996

Nagano, Atsushi Ministry of Finance, Japan, TO: Apr. 19, 1996

Nagle, Kurt American Association of Port Authorities, TO: Jan. 9, 1997;

Najarian, Nishan J., TO: Apr. 20, 1995

Nash, Monroe, Jr. A.G. Edwards & Sons, Inc., TO: Apr. 20, 1995

Nash, Robert J. Assistant to the President, White House, TO: Aug. 14, 1997 (RE: Owens, Sister Helen); Aug. 26, 1998 (RE: Cook, J. Michael);

Nason, Charles T. Acacia Group, TO: Apr. 20, 1995

Nathan, S. R. Ambassador to USA, Singapore, FROM: Sep. 21, 1995; TO: Sep. 28, 1995

Natori, Kenneth Natori Company, FROM: Aug. 6, 1993; TO: Aug. 24, 1993

Nazareth, Annette US SEC - Counsel, TO: Feb. 26, 1999;

Neal, Richard E. US House of Representatives, FROM: Nov. 18, 1997;

Neal, Robin Social Security Administration, TO: Apr. 14, 1998;

Neely, Paul Chattanooga Times, FROM: May 19, 1997; TO: Jun. 3, 1997;

Neff, John Wellington Management Company, TO: Jun. 13, 2000;

Nelson, Anthony Treasury Chambers, UK, FROM: Aug. 5, 1993; TO: Aug. 13, 1993

Nelson, David Raymond James & Associates; US SEC - Southeast Regional Office, TO: Feb. 17 1995; Apr. 26, 1995; Apr. 15, 1996

Neoh, Anthony Francis Securities and Futures Commission, Hong Kong; IOSCO, FROM: Dec. 5, 1996 (Canadell, Eudald); Jan. 30, 1997; TO: Dec. 26, 1996; Feb. 6, 1997; Feb. 11, 1997; May 8, 1997; Oct. 22, 1997; Sep. 10, 1998;

Nestor, Loretta Guterrez Hispanic National Bar Association,
TO: May 14, 1998;

Netanyahu, Benjamin Prime Minister, Israel, FROM: Jul. 28,
1998; TO: Oct. 5, 1998;

Netter, Richard Singer Netter Dowd & Berman., FROM: Jun.
24, 1996; TO: Jul. 16, 1996;

Neumann, Mark W. US House of Representatives, FROM:
Dec. 10, 1997; TO: Dec. 31, 1997;

Newkirk, Tom US SEC, TO: Sep. 16, 1999

Newman, Frank N. US Department of Treasury; Bankers
Trust Company, FROM: May 19, 1995; Jul. 11, 1996; TO:
Jun. 1, 1995; Jul. 24, 1996;

Newman, Richard G. AECOM Technology Corporation, TO:
Sep. 30, 1997;

[Newse], Earl, FROM: Jul. 15, 1998; TO: [Jul. 15, 1998];

Newso, Robert Securities Department Director, IL, TO: Apr.
21, 1995

Nichols, Sara Consumer Federation of California, CA,
FROM: May 9, 2000; TO: Jun. 20, 2000;

Nickles, Don US Senate, TO: Nov. 20, 1997;

Nicholas, John J., TO: Feb. 6, 1996

Niederauer, Duncan L. Goldman Sachs & Co., TO: Mar. 16,
1999;

Niehenke, John J. Nomura Securities International, Inc.,
FROM: Aug. 21, 1996; TO: Sep. 11, 1996;

Nigon, Emily Esko High School, FROM: Mar. 24, 1995; TO:
Apr. 11, 1995

Nimetz, Matthew Paul, Weiss, Rifkind, Wharton & Garrison;
General Atlantic Partners, FROM: Nov. 15, 1994; Jan. 29,
2001;

Nines, Larry National Association of Higher Educational
Facilities Authorities, TO: Jan. 9, 1997;

Nixon, Ralph E. Liberty Securities Corporation, TO: Apr. 20,
1995

Njeke, Johnson Kagiso Trust Investment Company, Ltd,
Republic of South Africa, TO: Mar. 7, 1995

Noble, John F., FROM: Aug. 11, 1995 (filed under Morella,
Oct. 20, 1995)

Nobuyuki Idei (?) Sony Corporation, Japan, FROM: Mar. 10,
1999; Feb. 25, 1999; TO: Mar. 16, 1999; Mar. 24, 1999;

Noia, Alan J. Allegheny Power, TO: Dec. 5, 1997

Nojeim, Greg American Civil Liberties Union, FROM: May 9, 2000; TO: Jun. 20, 2000;

Nolen, Wilson, TO: Mar. 16, 1999;

Norden, Donald J. Chambers, Conlen & Hartwell, FROM: Dec. 5, 1995; TO: Jan. 2, 1996;

Norgaard, Erik Mercuri Urval A/S, Denmark, TO: Sep. 20, 2000 (RE: Muis, Jules);

Norton, Eleanor Holmes US House of Representatives, FROM: Nov. 20, 1997; TO: Jan. 20, 1998;

Notebaert, Richard C. Ameritech Corporation, TO: Feb. 13, 1998;

Noto, Lucio A. Mobil Corporation, FROM: Nov. 24, 1997; TO: Dec. 17, 1997

Nussbaum, Bernard Wachtell, Lipton, Rosen & Katz, TO: Jan. 29, 2001;

Nye, Joseph S. Harvard University - John F. Kennedy School of Government, FROM: Mar. 21, 1997; Apr. 15, 1998; TO: Mar. 26, 1997; Mar. 19, 1998; Apr. 28, 1998; Oct. 21, 1998;

Nygaard, Brian L. Princor Financial Services Corporation, TO: Mar 2, 1995; Apr. 20, 1995

Oakley, Frank Williams College, FROM: Aug. 1, 1993; TO: Aug. 13, 1993

Obernauer, Marne, Jr. Devon Group, Inc., FROM: Sep. 3, 1996;

O'Brien, Karen M. North American Securities Administration Association, Inc., TO: Apr. 26, 1995

O'Brien, Edward I., TO: Apr. 20, 1995; May 2, 1996

O'Brien, Michael House of Commons, UK, FROM: Dec. 18, 1996; TO: Dec. 23, 1996; Jan. 3, 1997;

O'Connor, Joseph IDS Financial Services, TO: Feb. 17 1995

O'Connor, Sandra Day US Supreme Court, TO: Oct. 5, 1998;

Odeen, Philip A. BDM International, Inc., FROM: Feb. 16, 1996; TO: Jul. 17, 1995; Mar. 11, 1996

O'Donnell, James National Association of Securities Dealers, TO: Feb. 17 1995

Ogg, Leslie L. IDS Mutual Fund Group, TO: Mar. 16, 1999;

O'Hara, Thomas E. National Association of Inverstors Corp., FROM: Sep. 15, 1995; Nov. 7, 1996; Jul. 18, 1997; Dec. 15, 1999; TO: May 1, 1995; Sep. 27, 1995; May 2, 1996; Sep.

20, 1996; Nov. 26, 1996; Aug. 13, 1997; Mar. 5, 1998; Feb. 8, 2000;

O'Hare, Mary Ann New York Stock Exchange, TO: Feb. 17 1995

Olesky, William Department of Banking, CT - Division of Securities, TO: Feb. 17 1995

O'Keefe, Mark State Auditor and Securities Commissioner, MT, TO: Apr. 21, 1995

Olayan, Suliman S. Olayan Group, Saudi Arabia, TO: Sep. 29, 1999

Ole, Kevin Gray Panthers Project Fund, FROM: Feb. 12 1996; TO: Mar. 11, 1996

O'Leary, C.J., TO: Apr. 20, 1995

Oliverio, Mary Ellen Pace University - Lubin School of Business, FROM: Oct. 1, 1998; Jan. 25, 1999; TO: Nov. 19, 1998; Feb. 24, 1999;

Olmert, Ehud Mayor, Jerusalem, Israel, FROM: Jul. 2, 1998; TO: Jul. 22, 1998;

Olson, James R. Lutheran Brotherhood Securities Corp., TO: Apr. 20, 1995

Olson, John F. Gibson, Dunn & Crutcher, LLP, TO: Aug. 29, 1997;

Olver, John US House of Representatives, FROM: Oct. 10, 1996; Nov. 18, 1997; TO: Dec. 10, 1996

O'Neil, Jack Securities Industry Association, TO: Oct. 15, 1996;

ONEil, James P. Bowne, FROM: Nov. 30, 1998;

O'Neil, Leo C. Standard & Poor's, FROM: Mar. 6, 1996; May 10, 1996; TO: Apr. 2, 1996; May 31, 1996

O'Neil, Barbara Rutgers Cooperative Extension Service, TO: May 14, 1998;

O'Neil, C. Roderick O'Neil Associates, FROM: Jul. 14, 1997 (Filed under Zarb, Frank, Jul. 17, 1997)

Oppenheim, E. Magnus E. Magnus Oppenheim & Co., FROM: Aug. 1, 1995; TO: Oct. 19, 1995

Ordway, Marilyn National Association of Inverstors Corp. - Metro Washington Council, TO: May 14, 1998;

O'Reilly, Patricia New York Stock Exchange, TO: Feb. 17 1995

O'Toole, Thomas F. Principal Financial Securities, Inc., TO: Apr. 20, 1995

O'Reilly, Vincent M. Coopers & Lybrand, FROM: Nov. 29, 1995; TO: Dec. 7, 1995

Osorio, Jose Luiz Comissao de Valores Mobiliarios, Brazil, FROM: Mar. 24, 2000; TO: Apr. 5, 2000;

Ospel, Marcel UBS AG, Switzerland, TO: Dec. 24, 1998;

Oswald, Rudolph A. AFL-CIO, TO: Apr. 20, 1995; May 2, 1996

Otto, Betsy Sibson & Co., FROM: Apr. 11, 1995 TO: May 17, 1995

Ouchi, William G. Office of the Mayor, Los Angeles, California; UCLA, TO: Apr. 21, 1995; May 2, 1996

Owens, Helen Our Lady of Lourdes Medical Center, FROM: Jul. 21, 1997 (Clinton, William); TO: Aug. 8, 1997 (Nash, Robert - filed under Nash, Aug. 14, 1997)

Oxley, Michael G. US House of Representatives, FROM: Sep. 26, 1996; Jan. 27, 1997; Apr. 10, 1997; May 23, 1997 (filed under Buffet, Warren, Aug. 25, 1997); Feb. 5, 1998; Mar. 3, 1998; TO: Oct. 28, 1996; Jan. 29, 1997; Mar. 5, 1997; Apr. 11, 1997; Oct. 10, 1997; Oct. 23, 1997; Mar. 4, 1998; Mar. 18, 1

Pace, E. Veronica Office on Aging, DC, TO: May 14, 1998;

Paglis, Robert J. Edward Jones, FROM: Oct. 23, 2000;

Paik, Won-Ku Securities and Exchange Commission, Korea, FROM: Apr. 27, 1995; TO: May 15, 1995; May 7, 1996

Pallante, Salvator New York Stock Exchange, TO: Feb. 17 1995

Palmieri, Victor H. Alix Palmieri Associates, TO: [Oct. 12, 1999];

Pandit, Vikram Morgan Stanley Dean Witter, TO: Sep. 27, 2000;

Panetta, Leon E. White House, FROM: Oct. 28, 1994

Pardes, Herbert, M.D. Columbia University - College of Physicians and Surgeons, FROM: Mar. 17, 1994

Pardus, Donald G. Eastern Utilities Associates, TO: Dec. 5, 1997

Parillo, Edward J., TO: Apr. 20, 1995

Parisian, Dean Thomas, TO: Apr. 20, 1995

Parker, Thomas H. Williams College, FROM: Dec. 1, 1998; TO: Oct. 28, 1998 (RE: Parker, Hallie);

Parmalee, Carol White House - Office of Chief-of-Staff, TO: Nov. 3, 1998;

Parratt, Shelly US SEC - Division of Corporation Finance,
TO: Oct. 11, 1995

Passin, Greg Sibson & Co., TO: Apr. 20, 1995

Patrikis, Ernest T. Federal Reserve Bank of New York,
FROM: Apr. 23, 1998; TO: May 20, 1998;

Patterson, Thompson B., Jr. J.C. Bradford & Co., TO: Aug.
23, 1995

Patterson, William AFL-CIO, TO: Apr. 12, 2000; Nov. 27,
2000;

Patton, Roscoe Investment Management and Research, Inc.,
TO: Apr. 20, 1995

Paul, William G. American Bar Association, FROM: Oct. 20,
1999; TO: Nov. 10, 1999; Feb. 16, 2000;

Paulson, Henry M. Goldman Sachs & Co., TO: Sep. 28,
1999; Jan. 29, 2001;

Paxon, Bill US House of Representatives, TO: Feb. 18, 1997

Payne, Hank Williams College, TO: May 29, 1996; Sep. 30,
1996; Oct. 18, 1996 (RE: Canada, Geoff)

Payne, Patricia L. Bethel & Nicasastro, P.C., FROM: Sep. 20,
1995; TO: Oct. 25, 1995

Pearce, E. Linwood Template Software, Inc., TO: Apr. 4,
1997;

Pearce, William R. IDS Mutual Fund Group, TO: Oct. 8,
1997;

Peirce, Thomas US SEC - Office of International Affairs, TO:
Nov. 16, 1998;

Pellecchia, Ray New York Stock Exchange, TO: Feb. 17
1995

Pellegrino, John Merrill Lynch & Co., Inc., TO: Feb. 17 1995

Pelosi, Nancy US House of Representatives, FROM: Dec. 10,
1997; TO: Jan. 20, 1998

Penske, Roger S. Detroit Diesel Corp., TO: May 1, 1995

Percoco, Stephen P. Lark Research, TO: Apr. 20, 1995

Pereira, Jose Nunes Comissao Do Mercado De Valores
Mobiliarios, Portugal, TO: Oct. 18, 1996

Perrier-Dreyer, Barbara Outreach Technologies, TO: Apr.
17, 1998;

Peretsman, Nancy Allen & Company, Inc., TO: Jun. 13,
2000; Jan. 29, 2001;

Perkins, John Office of the Secretary of State, MO, TO: Apr. 21, 1995

Perlmutter, Louis Lazard Freres, TO: Jan. 4, 1995

Peters, Aulana L. Gibson, Dunn & Crutcher, LLP, TO: Mar. 16, 1999;

Peterson, Collin US House of Representatives, TO: Aug. 10, 1995

Peterson, Peter G. Blackstone Group, TO: Oct. 28, 1996; Jun. 13, 2000; Jan. 29, 2001;

Petisi, Robert J. Marketing Corporation of America, FROM: May 6, 1999; TO: May 12, 1999;

Petrelli, Tony Neidiger, Tucker, Bruner, Inc., TO: Oct. 23 1995

Petri, Thomas E. US House of Representatives, FROM: Sep. 3, 1997; TO: Oct. 2, 1997;

Petrick, Stephen J., TO: Apr. 3, 1995

Pettibone, Peter J. Patterson, Belknap, Webb & Tyler, FROM: Sep. 11, 1996; TO: Sep. 27, 1996;

Phelan, John J., TO: Oct. 15, 1999;

Phelps, Glenys I., TO: Apr. 20, 1995

Phillips, John D. A.T. Kearny, Inc., TO: Apr. 20, 1995

Phillips, Richard M. Kirkpatrick & Lockhart, FROM: Nov. 28, 1995 (+ list); TO: Jul. 7, 1995; Dec. 7, 1995; Mar. 16, 1999;

Picado, Sonia S. Ambassador to USA, Costa Rica, FROM: May 16, 1995

Piccirilli, Maria D'Alessandro Division of Banking and Securities, RI, TO: Apr. 21, 1995

Pickard, Lee A. Pickard and Djinis, FROM: Mar. 25, 1997; TO: Apr. 17, 1997

Pickholz, Marvin G. Hoffman Pollor & Pickholz, LLP, FROM: Sep. 29, 1997; TO: Oct. 17, 1997;

Pillis, John H. III Nations Securities, TO: Apr. 20, 1995

Pinera, Jose Cato Institute, TO: Nov. 18, 1998;

Pinto, John National Association of Securities Dealers, TO: Dec. 5, 1995

Piper, Addison L. Piper Jaffray Inc., TO: Mar 2, 1995; Apr. 20, 1995; Jun. 7, 1995

Pitfield, Anthony C. Tex, TO: Apr. 20, 1995

Pitt, Harvey Fried, Frank, Harris, Shrine, & Jacobson, TO:
Mar. 6, 1996

Pitt, Ruth US SEC, TO: Sep. 29, 1995

Planty, Donald J. US Embassy, Guatemala, TO: Dec. 15,
1998;

Plate, Thomas Los Angeles Times, FROM: Dec. 20, 1994

Platt, Nicholas W. Burson-Marsteller, FROM: May 25, 1999;
TO: Jun. 21, 1999; Jan. 4, 2000;

Plavin, David Airports Council International - North
America, TO: Jan. 9, 1997;

Plaze, Robert US SEC - Division of Investment Management,
TO: Oct. 28, 1997;

Pleng, Lim Choo Stock Exchange, Singapore, TO: May 5,
1995

Plenge, Robert W. Plenge, Thomas & Gunning Securities,
Inc., TO: Apr. 20, 1995

Plunket, Travis Consumer Federation of America, FROM:
May 9, 2000; TO: Jun. 20, 2000;

Podesta, John White House, TO: Dec. 23, 1998;

Pollack, Irving Storch & Brenner, TO: Apr. 26, 1995

Polt, Michael S. US Embassy, Germany, TO: Mar. 2, 1998

Popkey, Dan Idaho Statesman, FROM: Mar. 31, 1995; TO:
Apr. 5, 1995

Popoff, Frank Dow Chemical Company, FROM: Jan. 12,
2000; TO: Jan. 19, 2000;

Porter, Alan, TO: Apr. 20, 1995

Porter, Barbara, TO: Apr. 20, 1995

Porter, Michael Harvard University - Graduate School of
Business Administration, FROM: Nov. 12, 1998; TO: Nov.
19, 1998; Jan. 11, 1999;

Post, Richard M. Gruntal & Co., Inc., FROM: Jul. 28, 1993;
TO: Aug. 4, 1993

Pottruck, David S. Charles Schwab & Co, Inc, FROM: Aug.
14, 1997; Feb. 4, 1998; Mar. 30, 1998; Aug. 5, 1998; Feb.
19, 1999; Sep. 7, 2000; Nov. 10, 2000; TO: Aug. 28, 1997;
Mar. 24, 1998; Apr. 6, 1998; Apr. 8, 1998; Apr. 17, 1998;
Aug. 18, 1998; Mar. 10, 1999; Nov. 30, 1999; Sep. 28,
2000; Nov. 30

Potts, Stephen D. US Office of Government Ethics, FROM:
Feb. 24, 1995; Apr. 8, 1999; TO: Mar. 6, 1995; May 20,
1999;

Pound, William T. National Conference of State Legislatures, TO: Jan. 9, 1997;

Powell, Dennis Cisco Systems, TO: Jun. 13, 2000;

Powell, Don G. Van Kampen American Capital, TO: Oct. 28, 1996; Dec. 26, 1996;

Powell, Elizabeth Investment Company Institute, TO: Apr. 14, 1998;

Powell, James B. AutoCyte, Inc., TO: Oct. 6, 1997;

Pozen, Robert C. Fidelity Management and Research Company, FROM: Jan. 21, 1999; TO: Apr. 17, 1998; Feb. 23, 1999; Mar. 16, 1999; Jan. 29, 2001;

Prada, Michel Commission des Operations de Bourse, France; International Organization of Securities Commissions, FROM: May 26, 1996; May 25, 1999; TO: Jun. 12, 1996; Oct. 22, 1997; Sep. 10, 1998; Nov. 19, 1998; Mar. 3, 1999; Jun. 4, 1999; Apr. 24, 2000; Oct. 17, 2000;

Precourt, Jay A. Tejas Gas Corp., FROM: Sep. 3, 1996;

Preiss, Valerie US SEC, TO: Nov. 16, 1995

Presley, Brian Advantage Capital Corporation, TO: Apr. 20, 1995

Pressler, Larry US Senate, FROM: Sep. 26, 1995 TO: Oct. 3, 1995

Price, Robert Price Communications Corporation; PriCellular Corporation, FROM: Jun. 12, 1995; Aug. 1, 1996; TO: Jun. 19, 1995; Aug. 20, 1996

Price, Sol Price Entities, TO: Apr. 20, 1995; May 2, 1996

Priddle, Steve US SEC - Office of Investor and Education Assistance, TO: Apr. 30, 1999;

Procter, Andrew Securities and Futures Commission, Hong Kong, TO: [Nov.]. 1999;

Provost, Peter DLS Group, Inc., TO: Feb. 17, 1995

Purcell, Philip J. Dean Witter Reynolds, Inc.; Morgan Stanley, Dean Witter & Co., TO: Mar 2, 1995; Mar. 27, 1995; Apr. 20, 1995; Jun. 7, 1995; Sep. 27, 1995; Jan. 30, 1997; Aug. 15, 1997; Oct. 17, 1997; Apr. 8, 1998; Oct. 22, 1998; Nov. 23, 1998; Dec. 28, 1998; Sep. 28, 1999

Quick, Leslie C., III US Clearing Corp., TO: Oct. 23, 1997;

Quinn, Jane Bryant Newsweek, TO: Apr. 7, 1998; [n.d.]

Quinn, Linda C. Shearman & Sterling, TO: Nov. 6, 1996

Quon, Randolph S.M. Potomac Foundation, FROM: Nov. 21, 1997; TO: Jan. 20, 1998;

Ragavan, Chitra US News & World Report, TO: Mar. 31, 1999;

Rainer, William J. US Commodity Futures Trading Commission, FROM: Sep. 10, 1999; Feb. 23, 2000; TO: Sep. 22, 1999; Nov. 12, 1999; Mar. 8, 2000;

Raines, Frank D. Office of Management and Budget; Fannie Mae;, TO: Oct. 7, 1996; Jan. 29, 2001;

Raschke, Don North American Securities Administrators Association, Inc. - Investment Companies Sales Practice Committee, TO: Apr. 20, 1995

Rashbaum, Harold, FROM: Jun. 9, 1997; TO: Jul. 1, 1997;

Razaghian, Rose, TO: Apr. 20, 1995

Readmond, Ron Charles Schwab & Co, Inc, TO: Feb. 17, 1995

Regan, Andrew Harvard University - Graduate School of Business Administration, TO: May 1, 1995

Regan, Ned Jerome Levy Economics Institute; CUNY Baruch College;, FROM: Apr. 17, 2000; Jul. 20, 2000; Jan. 24, 2001 (2); TO: Apr. 25, 2000; Aug. 31, 2000; Jan. 29, 2001;

Rehnquist, William H. US Supreme Court, TO: Oct. 5, 1998;

Reich, Robert (Biff) Secretary of Labor, FROM: Sep. 10, 1996 (Skip Hayward); TO: Sep. 19, 1996;

Reilly, Richard M. Allmerica Investments, Inc., TO: Apr. 20, 1995

Reis, Donald Securities Division, NV, TO: Apr. 21, 1995

Reischauer, Robert Brookings Institution, TO: Oct. 21, 1998;

Rendell, Edward G. Mayor, Philadelphia, PA, FROM: Apr. 15, 1999; TO: Dec. 29, 1998; May 5, 1999;

Reno, Janet Attorney General, USA, FROM: Jun. 5, 1995; Aug. 25, 1997; TO: Jun. 14, 1995; Dec.[1-4], 1995; Sep. 22, 1997; Sep. 25, 1997; Jun. 9, 1999;

Revson, Charles Charles H. Revson Foundation, FROM: Jan. 25, 1996; TO: [Mar. 5], 1996

Rhett, John T., III Robinson Humphrey Co., LLC., TO: May 14, 1998;

Riccio, Willis H. National Association of Securities Dealers Regulation, Inc., TO: May 14, 1998;

Rice, Norman B. Mayor, Seattle, VA; US Conference of Mayors (President), FROM: Apr. 24, 1996; TO: Jun. 7, 1996

Rich, Linda Dallas US House of Representatives, TO: Mar. 5, 1997;

Richard, Oliver G., III Columbia Gas System, Inc., TO: Dec. 5, 1997

Richards, Lori A. US SEC - Office of Compliance Inspections and Examinations, TO: May 14, 1998; Feb. 26, 1999; Mar. 3, 2000;

Richardson, Alan H. American Public Power Association, TO: Jan. 9, 1997;

Richardson, Bill US House of Representatives, FROM: Sep. 5, 1995; Oct. 8, 1996; TO: Nov. 4, 1996; Feb. 18, 1997

Richardson, Christine US SEC - Division of Market Regulation, TO: Nov. 16, 1998; Dec. 11, 2000;

Richardson, Margaret Milner US Department of Treasury - IRS, FROM: Jun. 3, 1996; TO: Jun. 26, 1996;

Rickson, Kenneth M. MML Investors Services, Inc., TO: Apr. 20, 1995

Ready, Marjorie, TO: Nov. 29, 2000;

Reddy, Michael Global Financial Market Group, TO: Aug. 16, 1999;

Reed, John S. Citicorp, FROM: Oct. 17, 1995; TO: Nov. 15, 1995; Apr. 17, 1998; Dec. 28, 1998; Jan. 5, 1999;

Rees, Rachel L., TO: Apr. 20, 1995

Ridings, Dorothy S. Council on Foundations, FROM: Apr. 30, 1997; TO: Jun. 5, 1997;

Ridings, C. Leslie Heather Investments, TO: Apr. 20, 1995

Riegle, Donald W. US Senate, TO: Jan. 21, 1994

Rifkind, Robert S. Charles H. Revson Foundation, TO: Jun. 4, 1998;

Rittmaster, D. Paul, FROM: Jul. 28, 1999; TO: Sep. 1, 1999

Rivera-Dirks, Catherine, FROM: Jun. 26, 1995 (filed under Odeen, Jul. 17, 1995)

Rivera-Dirks, John Willams College, FROM: Feb. 5, 1997 (Filed under Henning, Madge, Feb. 6, 1997); Jun. 4, 1998 (addressed to Walter, RE: Dirks)

Rivers, Lynn N. US House of Representatives, FROM: Oct. 10, 1996; TO: Dec. 10, 1996

Rivkin, Robert, TO: Apr. 20, 1995

Rivlin, Alice Federal Reserve Board, TO: Dec. 23, 1998;

Roach, Rae, TO: Feb. 23, 1995

Robb, Charles S. US Senate, FROM: Feb. 2, 2000; TO: Mar. 14, 2000;

Robbins, Rachel J.P. Morgan & Co., Inc., TO: Mar. 16, 1999;

Robbins, Ronald Liberty Securities Corporation, TO: Apr. 20, 1995

Robert, Stephen Oppenheimer & Co., Inc, TO: Mar 2, 1995;
TO: Apr. 20, 1995; Jun. 7, 1995

Roberts, Bert C. MCI Communications Corporation, FROM:
May 15, 1997; TO: Jun. 5, 1997;

Roberts, Peter A. College Savings Bank, FROM: Jan. 11,
1995; TO: Feb. 17, 1995

Robinson, George S., III Robinson & Langenberg, PC.,
FROM: Apr. 19, 2000;

Robinson, Gerald W. II W.S. Griffith & Co., Inc., TO: Apr.
20, 1995

Robinson, Todd A. Linsco/Private Ledger Corp., TO: Feb.
17, 1995; Mar. 2, 1995; TO: Apr. 20, 1995

Roby, Joe L. Donaldson, Lufkin & Jenrette, TO: Nov. 23,
1998;

Roche, Gerard R. Heidrick & Struggles, FROM: Aug. 3,
1998; TO: Aug. 17, 1998; Jan. 29, 2001;

Rock, Arthur Intel Corporation; Arthur Rock & Co., FROM:
Sep. 4, 1996; Sep. 23, 1998; TO: Dec. 12, 1996; Oct. 14
1998;

Rock, Kent City Treasurer, Boise, ID, FROM: Aug. 22, 1993;
Aug. 22, 1995 (personal file); TO: Sep. 21, 1995

Rockefeller, David, FROM: Aug. 9, 1993: TO: Aug. 27, 1993

Rocker, David A. Rocker Partners,L.P., FROM: Dec. 1, 1994;
Sep. 18, 1995; Apr. 25, 1996; May 16, 1996; May 22, 1996;
Mar. 5, 1998; Mar. 27, 1998; Jan. 27, 2000; Mar. 14, 2000;
TO: Oct. 11, 1995; May 9, 1996; Jun. 26, 1996; Mar. 18,
1998; Apr. 17, 1998; Feb. 15, 2000; Apr. 24, 2000;

Rodominick, Jarrod Boy Scouts of America, TO: Mar. 24,
1998;

Roemer, Tim US House of Representatives, FROM: Jan. 20,
2000; TO: May 19, 2000;

Rogers, Harold US House of Representatives, TO: Dec. 29,
1995; Jul. 29, 1999;

Rogers, James E. Cinergy Corporation, TO: Dec. 5, 1997

Rogers, John W. Ariel Capital Management, Inc., FROM:
Mar. 15, 1999; TO: Apr. 22, 1999;

Rogers, Thomasina V. US Administrative Conference,
FROM: Jun. 5, 1995; TO: Jun. 14, 1995

Rogers, William L. Colony Capital, Inc., FROM: Jul. 25, 1997; TO: Jul. 28, 1997;

Rognovitz, Ruth US SEC - Office of International Affairs, TO: Dec. 18, 1995

Rogstad, Barry K. American Business Conference, FROM: Nov. 22, 1995; Feb. 20, 1997; Jun. 3, 1997; Sep. 29, 1998 (filed under Frazier, Fran, Oct. 2, 1998); Jul. 14, 2000; TO: Dec. 7, 1995; Mar. 4, 1997; Jun. 18, 1997; Sep. 18, 2000;

Rolland, Ian M. Lincoln National Life Insurance Company, TO: Apr. 20, 1995

Rollins, Loretta Municipal Securities Rulemaking Board, TO: Feb. 17, 1995

Rollwagen, John A. St. Paul Venture Capital, FROM: Apr. 11, 1997;

Romano, Richard C. Romano Brothers & Co., TO: Feb. 17, 1995

Roper, Barbara L.N. Consumer Federation of America, FROM: Apr. 10, 1997; Aug. 1, 2000; TO: Apr. 20, 1995; Mar. 6, 1996; May 2, 1996; Apr. 30, 1997; Sep. 7, 2000;

Roper, Joseph C., TO: Apr. 20, 1995

Rosen, Howard Competitiveness Policy Council, FROM: Mar. 26, 1996; TO: Apr. 15, 1996

Rosenberg, Henry A. Crown Central Petroleum Corp., TO: Apr. 6, 1995

Rosenberg, Nathan Owen Rosenberg Group, FROM: Jul. 30, 1993; TO: Aug. 12, 1993

Rosenberg, Wolfgang H., FROM: Jun. 29, 1996; TO: Jul. 17, 1996;

Rosenblatt, Peter R. Heller, Rosen & Scheman; Heller & Rosenblatt, FROM: Dec. 10, 1996; Sep. 26, 2000; TO: Sep. 18, 1995;

Rosenfield, Maurice, FROM: Sep. 19, 1994; Feb. 28, 1996; TO: Oct. 5, 1994; Mar. 13, 1996;

Rosenman, Robert Cravath, Swaine & Moore, TO: Feb. 27, 1998;

Rosenwald, E. John, Jr. Bear, Stearns & Co., Inc., FROM: Apr. 6, 1998; Sep. 9, 1999; TO: Apr. 6, 1998; Sep. 22, 1999;

Rossi, Charles V. Securities Transfer Association, Inc., FROM: Sep. 5, 1997; TO: Sep. 18, 1997

Roth, Michael J.C. USAA Investment Management Co., TO: Mar. 16, 1999;

Roth, William V., Jr. US Senate, TO: Feb. 17, 1995; Nov. 15, 1995; Jan. 3, 1996; Nov. 20, 1997;

Rothenberg, James F. Capital Research and Management Company, FROM: Sep. 13, 1999; TO: Sep. 30, 1999

Rowe, John W. New England Electric System, TO: Dec. 5, 1997

Roy, P. Norman Financial Executives Institute, FROM: Mar. 22, 1995; TO: Apr. 18, 1995; Feb. 7, 1996; May 20, 1996 (Cook, Michael J.)

Roye, Paul F. US SEC - Division of Investment Management, FROM: Apr. 12, 1999 (Silver, David); TO: Feb. 26, 1999;

Roybal-Allard, Lucille US House of Representatives, FROM: Dec. 10, 1997; TO: Jan. 20, 1998;

Rubin, Robert E. US Department of Treasury; US Council on Foreign Relations, TO: [Mar. 14], 1995; May 16, 1995; Jun. 16, 1995; [Jun. 19, 1995]; Jun. 20, 1995; Sep. 4, 1996; Nov. 5, 1996; Jan. 9, 1997; Feb. 20, 1997; Jul. 16, 1998; Oct. 16, 1998; Sep. 28, 1999

Rubinstein, Peter J. Central Synagogue, TO: Aug. 2, 2000;

Rudell, Joel M. Kavanagh Peters Powell & Osnato, TO: Aug. 5, 1993

Ruder, David S. Northwestern University - School of Law, FROM: Oct. 24, 1996 (RE: Anna Eshoo); Jul. 26, 2000; TO: Oct. 5, 1995; Oct. 23 1995; Nov. 5, 1996; May 27, 1997(Balamaci, N.); Jul. 28, 2000; Aug. 17, 2000;

Ruder, William William Ruder, Inc., FROM: Feb. 22, 1995; Jan. 18, 1996; Oct. 15, 1997; Mar. 12, 1998; TO: Mar. 7, 1995; Jan. 30, 1996; Oct. 30, 1997; Mar. 17, 1998;

Ruggieri, Bernard J., FROM: Aug. 12, 1993; TO: Aug. 27, 1993

Ruhlin, Peggy M. International Association for Financial Planning, FROM: Jun. 24, 1997; TO: Jul. 16, 1997;

Rupp, George Columbia University, TO: Dec. 23, 1998;

Ruru, Bacelius Capital Market Supervisory Agency, Indonesia, TO: Mar. 22, 1995; May 5, 1995

Rusenko, Harriet J., TO: Apr. 20, 1995

Rush, Bobby L. US House of Representatives, FROM: Nov. 20, 1997; TO: Jan. 20, 1998

Russo, Thomas A. Lehman Brothers, FROM: Jan. 20, 1997; TO: Feb. 4, 1997

Rustin, Richard E., FROM: Apr. 14, 1998

Ruth, Heather L. Public Securities Association, FROM: Feb. 24, 1995; TO: Mar. 16, 1995; Apr. 26, 1995

Ryan, Thomas P. Dean Witter Reynolds, Inc., TO: Sep. 13, 1995

Ryen, Christopher Boy Scouts of America, TO: Mar. 24, 1998;

Sack, Joe Bond Market Association, TO: Apr. 14, 1998; May 22, 2000;

Sadano, Salvatore American Stock Exchange, TO: Oct. 1, 1999; Nov. 10, 1999;

Sadlin, Max US House of Representatives, FROM: Jan. 20, 2000; TO: May 19, 2000;

Safire, William New York Times, TO: Sep. 26, 1996; Mar. 4, 1997; Jul. 23, 1997; Apr. 15, 1998; May 6, 1998

Saint-Geours, Jean Commission des Operations de Bourse, France, TO: Jan. 17, 1995

Salig, Ronald J. Boy Scouts of America, FROM: Dec. 8, 1997 (filed under Jason Desrosiers, Jan.14, 1998); Jan. 19, 1998; (Filed under Mar. 24, 1998)

Saloom, Joseph A. US Embassy, Germany, TO: Mar. 2, 1998

Saltzman, Paul Bond Market Association, FROM: Oct. 20, 1997; TO: Nov. 13, 1997;

Samansky, Art Securities Industry Association, TO: Feb. 17, 1995

Sanders, Bernard US House of Representatives, FROM: Oct. 10, 1996; TO: Dec. 10, 1996;

Sanderson, Janet US Embassy, Cairo, TO: Feb. 27, 1996;

Sandner, John F. Chicago Mercantile Exchange, FROM: Jun. 21, 1995; Feb. 18, 1997; TO: Jul. 17, 1995; Mar. 4, 1997;

Sands, Jerome Robinson Humphrey Co., LLC., TO: Mar. 27, 1995; Jun. 7, 1995

Sanford, Henry J. US Naval Academy, TO: Jan. 2, 1998;

Sanford, Terry Duke University - Terry Sanford Institute of Public Policy, FROM: Jan. 28, 1997 (RE: Chestnutt, William J.); TO: Feb. 21, 1997

Sangvian Indaravijaya Stock Exchange, Thailand, TO: May 5, 1995

Santorum, Richard US Senate, FROM: Oct. 29, 1996; May 2, 2000; TO: Dec. 5, 1996; Jun. 27, 2000;

Santos, Rich Registered Representative Magazine, TO: Jun. 21, 1999; Nov. 9, 2000;

Saperstain, Michael Bear, Stearns & Co., Inc., TO: Oct. 18, 1993

Sarbanes, Paul S. US Senate, FROM: Sep. 28, 1995; Jan. 28, 2000; TO: Aug. 10, 1995; Oct. 31, 1995; Jan. 19, 1996; May 16, 1997; Sep. 25, 1997; Oct. 10, 1997; Sep. 30, 1998; Dec. 23, 1998; Mar. 14, 2000;

Sargent, George K., TO: Apr. 20, 1995

Sargent, Holly Taylor Harvard University - John F. Kennedy School of Government, FROM: Aug. 15, 1995; TO: Sep. 12, 1995

Sarrazin, Jurgen Dresdner Bank AG, Germany, FROM: Apr. 10, 1995; TO: May 12, 1995

Santangelo, William Public Securities Association, FROM: Oct. 2, 1996; TO: Sep. 2, 1997;

Sato, Ginko Securities and Exchange Surveillance Commission, Japan, TO: Aug. 17, 1998;

Sauer, Kristen Dow Jones & Co., TO: Mar. 28, 1995

Saul, Ralph S., FROM: Sep. 27, 1999; TO: Nov. 1, 1999;

Savage, Frank Alliance Capital Management, Inc., TO: Jan. 29, 2001;

Saxon, Donald Department of Banking and Finance, FL - Office of Comptroller, TO: Feb. 17, 1995; TO: Apr. 21, 1995

Sayer, Ira, TO: Apr. 20, 1995

Sayer, Paul US House of Representatives - Office of Richard Baker, TO:(Kathryn Fulton) Mar. 3, 1995

Sayers, Dorothy Sacred Heart University, FROM: Feb. 10, 1995; TO: Mar. 17, 1995

Scalia, Antonin US Supreme Court, TO: Oct. 5, 1998;

Scardino, Jennifer US SEC - Chief of Staff, FROM: Apr. 6, 1997 (RE: Callaway, Howard); Dec. 23, 1997 (clippings);

Scardino, Marjorie Economist Group; Pearsons, UK, TO: Nov. 30, 1995; Dec. 13, 1996; Dec. 23, 1998; Apr. 27, 2000; Jan. 29, 2001;

Schadt, James P. Reader's Digest Association, FROM: Oct. 27, 1993; Jan. 5, 1995; TO: Jan. 19, 1995; Dec. 18, 1995; Dec. 19, 1996;

Schaefer, Jeffrey M. Securities Industry Association, FROM: Aug. 16, 1993; Dec. 13, 1995; TO: Aug. 24, 1993; Jan. 2, 1996

Schaler, Ralph G. Merrill Lynch & Co., Inc., FROM: Sep. 2, 1993; TO: Sep. 15, 1993

Schapiro, Mary L. Commodity Futures Trading Commission; National Association of Securities Dealers Regulation, Inc., FROM: Dec. 22, 1994; Jan. 26, 1995; Jun. 15, 1995; TO: Jan. 10, 1995; [Feb. 13, 1995]; Jun. 28, 1995; Feb. 8, 1996; Apr. 10, 1997; Apr. 30, 1997; Jun. 9, 1997; Oct. 3, 1997 (filed under Markey, Oct. 3, 1997)

Scharver, Chris Boston Stock Exchange Specialist Association, FROM: Jun. 10, 1998; TO: Jun. 30, 1998;

Schechter, William William Schechter Inc., FROM: Mar. 3, 1998; TO: Apr. 16, 1998;

Schieren, George A. Merrill Lynch, Pierce, Fenner & Smith, Inc., FROM: Jan. 31, 1997; TO: May 1, 1995; Feb. 26, 1997

Schiffman US SEC, TO: May 3, 1995

Schiro, James J. PriceWaterhouseCoopers, FROM: Jun. 12, 1998; Aug. 17, 2000; TO: Jul. 10, 1998; Aug. 29, 2000; Nov. 27, 2000; Jan. 29, 2001;

Schlafly, Phyllis Eagle Forum, FROM: May 9, 2000; TO: Jun. 20, 2000;

Schlein, Michael E. US SEC - Counsel, TO: Feb. 17 1995

Schlimmer, Karl Boy Scouts of America, TO: Mar. 24, 1998;

Schlosser, Alfred M., FROM: Mar. 15, 1999; TO: Mar. 18, 1999;

Schmelzer, Henry L.P. New England Securities, TO: Apr. 20, 1995

Schmitt, Christopher H. Business Week, FROM: Oct. 18, 2000; TO: Nov. 27, 2000;

Schneider, Steven L. Disclosure, Inc., FROM: Sep. 7, 1995 (filed under Morella, Oct. 20, 1995)

Schoenberger, Robert G. Unitil Service Corporation, TO: Dec. 5, 1997

Scholl, Herb, TO: Jan. 10, 2001;

Schori, Pierre Ministry for Foreign Affairs, Sweden; European Parliament; FROM: Oct. 29, 1993; Aug. 23, 1996; Nov. 1, 1999; TO: Sep. 5, 1996; Nov. 22, 1999;

Schosberg, Paul A. America's Community Bankers, FROM: Jul. 28, 1993; Mar. 11, 1998; TO: Aug. 4, 1993; Mar. 17, 1998;

Schrader, William L. PSINet, Inc., TO: Apr. 17, 1998;

Schroeder, Harald J. Merck KGaA, Germany, TO: Apr. 25, 1997;

Schroeder, John W. Advanced Micro Devices, Inc., FROM: Feb. 15, 1995; TO: Feb. 23, 1995

Schroeder, Patricia Association of American Publishers, TO:
Mar. 31, 1999; Mar. 28, 2000;

Schubert, Daniel MetroHealth Medical Center, TO: Apr. 20,
1995

Schubert, Jeffrey Principal Financial Securities, Inc., TO:
Apr. 20, 1995

Schuetze, Walter P., FROM: Mar. 29, 1996; TO: Apr. 11,
1996;

Schulte, David M. Chilmark Partners, FROM: Oct. 28, 1997
(RE: Alison Landsberg; TO: Nov. 26, 1997;

Schulze, Erwin E. Chicago Stock Exchange, FROM: Apr. 18,
1996; TO: Feb. 17 1995; Jul. 7, 1995; May 21, 1996

Schumer, Charles E. US House of Representatives; US
Senate, FROM: May 14, 1997; Jul. 7, 1997; Dec. 18, 1997;
Feb. 24, 1998; Apr. 20, 1999 (2); May 25, 2000; Jul.
17, 2000 (Susan Wyderko, RE: Restivo, Peter; Edwards,
Denver); TO: Aug. 1, 1997; Feb. 25, 1998; Mar. 18, 1998;
Apr. 23, 1999; Oct. 14, 1999; Dec. 22, 19

Schutt, Steve DLS Group, Inc., TO: Feb. 17 1995

Schwab, Charles R. Charles Schwab & Co, Inc, TO: Mar. 2,
1995; Mar. 27, 1995; Apr. 20, 1995; Jun. 7, 1995; Apr. 10,
1996; Mar. 16, 1999;

Schwab, Richard L. ZD Comdex & Forums, TO: Jan. 25,
1999;

Schwartz, Howard J. Lynch, Jones & Ryan, Inc., FROM: Feb.
5, 1998; TO: May 17, 1995; Mar. 4, 1998

Schwartz, Mark Council Member, OK City; National League
of Cities, FROM: Mar. 18, 1997; May 6, 1998; TO: Mar. 26,
1997; Jun. 16, 1998;

Schwartz, Robert, S. Prudential Securities, Inc., FROM: Nov.
27, 1995; TO: Dec. 18, 1995

Scott, Charles Red, FROM: Jan. 19, 1996 (RE: Klein, Mel)

Schwarz-Schutte, Patrick Schwarz Pharma AG, Germany,
TO: Apr. 25, 1997;

Scott, Richard L. Columbia/HCA Healthcare Corporation,
TO: May 3, 1995

Scott, Kenneth E. Stanford Law School, TO: Mar. 16, 1999;

Searll, Aaron Seardel Investment Corporation, Republic of
South Africa, FROM: Mar. 8, 1995; TO: Mar. 7, 1995

Segal, Martin E., FROM: Jun. 4, 1996; Apr. 8, 1998; Sep.
10, 1998; TO: Jun. 10, 1996; Apr. 15, 1998; Nov. 4, 1998;

Segreti, Joseph US SEC - Web Development, TO: Sep. 29, 1995

Seidel, Heather US SEC - Division of Market Regulation, TO: Nov. 16, 1998;

Seiden, Steven Seiden Krieger Associates, Inc., FROM: Apr. 13, 1998; TO: Apr. 21, 1998;

Seidenberg, Ivan Bell Atlantic, TO: Dec. 20, 1999;

Seidman, Ellen White House, FROM: Feb. 24, 1994

Seijas, Robert W. Specialists Association at the New York Stock Exchange, FROM: Jun. 10, 1998; TO: Jun. 30, 1998;

Selbst, Stanton C. Selbst Group, Inc., FROM: Oct. 21, 1998; TO: Nov. 17, 1998;

Seldes, Aileen Patterson, TO: Apr. 20, 1995

Seligman, Joel University of Michigan, MI - School of Law; University of Arizona, AZ - Law School, FROM: Jan. 14, 1997; TO: Jan. 25, 1995; Oct. 23 1995; Feb. 4, 1997; May 27, 1997(Balamaci, N.); Aug. 29, 1997;

Selvagn, Matthew Boy Scouts of America, TO: Mar. 24, 1998;

Senatore, Charles V. US SEC - Southeast Regional Office; Merrill Lynch, TO: Dec. 30, 1996; Sep. 28, 1999;

Sener, John E., TO: Sep. 26, 1996 (RE: Platt, Martha H.);

Senger, Henry C. SmithBarney, FROM: Jan. 22, 1998; TO: Feb. [10], 1998;

Seri, Chintanaseri Stock Exchange, Thailand, TO: May 5, 1995

Sessions, Pete US House of Representatives, FROM: Mar. 5, 1997; [n.d.] (fragment); TO: Apr. 4, 1997;

Settel, Jim Prudential Securities, Inc., TO: Apr. 20, 1995

Sewll, Stephen F., FROM: Feb. 13, 1996; TO: Feb. 27, 1996;

Sexton, John New York University - School of Law, TO: Apr. 26, 1995

Shackman Jacoby, Daniel B. Shackman & Co., TO: Apr. 20, 1995

Shad, John, TO: Aug. 6, 1993

Shafer, Jeffrey US Department of Treasury, TO: Feb. 7, 1996

Shafroth, Frank National League of Cities, TO: Jan. 9, 1997;

Shagrin, Donald M., FROM: Jul. 25, 1993; TO: Sep. 13, 1993

Shands, Susan Office of the Secretary of State, MS, TO: Apr. 21, 1995

Shanklin, Robert F. US SEC - Desktop Publishing, TO: Oct. 6, 1997;

Shapiro, Robert F. Klingstein Fields & Co, LLC, FROM: Jul. 27, 2000; TO: Aug. 15, 2000;

Sharp, Daniel A. American Assembly, FROM: Jan. 3, 1997; TO: Jan. 21, 1997;

Shattuck, Mayo A. BT Alex Brown Inc., TO: Apr. 8, 1998;

Shaver, Troy C. John Hancock Broker Distribution Services, Inc., TO: Mar 2, 1995; Apr. 20, 1995

Shaw, Eugene, FROM: [Dec. 27, 1995]; TO: Jul. 31, 1996;

Shaw, Meddi, TO: Apr. 20, 1995

Shea, Daniel F. US SEC - Central Regional Office, TO: Dec. 30, 1996;

Shedlarz, David L. Pfizer Inc., TO: Jun. 13, 2000;

Sheinkman, Jack AFL-CIO, FROM: Aug. 19, 1997; TO: Sep. 11, 1997;

Shelby, Richard C. US Senate, FROM: Jun. 5, 1996; Jan. 17, 1997; Jul. 2, 1997; TO: Jun. 24, 1996; Feb. 10, 1997; Jul. 24, 1997; Aug. 21, 2000;

Shell, Callie White House, FROM: [Apr.] 1996; TO: Apr. 18, 1996

Shelton, George Howe Barnes Investments, Inc., TO: Sep. 13, 1995

Shen, Andrew Electronic Privacy Information Center, FROM: May 9, 2000; TO: Jun. 20, 2000;

Sheng, Andrew L. T. Securities and Futures Commission, Hong Kong, FROM: Nov. 24, 1998; TO: Nov. 19, 1998; Mar. 3, 1999; Jan. 29, 2001;

Shepard, Steven Business Week, FROM: Sep. 28, 2000; TO: Jan. 29, 2001;

Shepherd-Walwyn, Tim Securities and Investments Board, UK, FROM: Mar. 3, 1995; TO: (Whittaker) Mar. 6, 1995

Sherlund, Richard Goldman Sachs & Co., TO: Jun. 13, 2000;

Sherman, Brad US House of Representatives, FROM: Dec. 10, 1997; TO: Jan. 20, 1998;

Sherman, Donald A. US SEC - Office of Administrative and Personnel Support, FROM: Dec. 23, 1999 (Fenster, Herbert)

Sherman, Derek, FROM: Jan. 23, 1996; TO: Feb. 20, 1996

Sherman, John, Jr. Scott & Stringfellow, Inc., FROM: Apr. 24, 1998; TO: May 28, 1998;

Sherman, Lawrence F. Mony Securities Corp., TO: Apr. 20, 1995

Sherrill, David, TO: Apr. 26, 1995

Sherrill, H. Virgil Prudential Securities, Inc., FROM: Jul. 27, 2000; TO: Aug. 15, 2000;

Shilling, A. Gary A. Gary Shilling & Co., Inc., FROM: Aug. 29, 1997; TO: Nov. 28, 1995; Dec. 19, 1996; Sep. 17, 1997; Dec. 13, 1999;

Shin, Young Moo Shin & Kim, Seoul, Korea, FROM: Mar. 10, 1995; TO: (Michael Mann) Apr. 17, 1997

Shipley, Walter Chase Manhattan Corp., TO: Dec. 28, 1998;

Shipp, Chris Prudential Insurance Company of America, TO: Feb. 17 1995

Shreve, Richard S. Dartmouth College, TO: Apr. 26, 1995

Shrontz, Frank A. Boeing, TO: May 1, 1995

Sibears, Daniel M. National Association of Securities Dealers, TO: Feb. 17 1995

Siebert, Muriel (Mickie) Muriel Siebert & Co., Inc., FROM: Aug. 12, 1998; TO: Aug. 19, 1998;

Siegel, Paul F. Prudential Securities, Inc., FROM: Apr. 1, 1998; Dec. 3, 1998; TO: Apr. 30, 1998; Dec. 16, 1998;

Silby, Barbara, FROM: Jul. 27, 1993; TO: Aug. 4, 1993

Silver, Jonathan M. Commonwealth Holdings, Inc., FROM: Mar. 20, 1998; TO: Mar. 25, 1998;

Silverman, Jeffrey S. Ply Gem Industries, Inc., TO: Dec. 13, 1995

Silva, Francisco Augusto da Costa e Comissao de Valores Mobiliarios, Brazil, TO: Jul. 3, 1996; Nov. 19, 1998; Mar. 3, 1999; Jun. 22, 1999; [Nov.]. 1999;

Silver, Bob PaineWebber, TO: Apr. 26, 1995

Silver, David ICI Mutual Insurance Company, FROM: Apr. 1, 1997; Apr. 9, 1998; Apr. 1, 1999; TO: Apr. 21, 1997; Apr. 30, 1998; Apr. 12, 1999;

Silver, Gordon H. Putnam Investments, FROM: Oct. 23, 1996; TO: Nov. 14, 1996

Silverstone, Leslie J., FROM: [Apr. 1998]; TO: Apr. 26, 1995; Apr. 15, 1998;

Simon, Moshe US SEC - Office of the General Counsel, TO:
Jul. 15, 1996;

Simon, Paul US Senate, FROM: Nov. 9, 1995; Sep. 20, 1996;
TO: Nov. 27, 1995; Oct. 31, 1996

Silvester, Paul J. Treasurer, CT, FROM: Dec. 12, 1997; TO:
Jan. 8, 1998;

Simmons, Hardwick Prudential Securities, Inc., FROM: Jun.
13 1996; Sep. 11, 1998; Mar. 31, 1999; Jun. 7, 1999; NOV.
3, 1999; Jan. 3, 2000; TO: Feb. 17, 1995; Mar 2, 1995; Mar.
27, 1995; Apr. 20, 1995; Jun. 7, 1995; Jul. 11, 1996; Sep.
13, 1996; Jan. 30. 1997; Oct. 17, 1997; Oct. 23, 1997; Apr.
8, 19

Simmons, Michelle New York Stock Exchange, TO: Feb. 17
1995

Simmons, William R. Dean Witter Reynolds, Inc., TO: Feb.
17 1995

Simons, W. Lucas J.C. Bradford & Co., TO: Aug. 23, 1995

Singerman, Martin New York Post, TO: May 8, 1998

Siphron, David C. Siphron Capital Management, FROM:
Jun. 6, 1997; TO: Aug. 1, 1997;

Siravo, George, TO: Apr. 20, 1995

Smith, James N. Council of Infrastructure Financing
Authorities, TO: Jan. 9, 1997;

Smith, John M. Guardian Investor Services Corporation, TO:
Apr. 20, 1995

Sirri, Erik R. US SEC - Office of Economic Analysis, TO: Feb.
26, 1999; Jul. 19, 1999;

Sisso, Shmuel Consulate General of Israel in New York,
FROM: Aug. 18, 1998 (filed under Netanyahu, Oct. 5, 1998)

Sizemore, Douglas M., FROM: Nov. 27, 1995; TO: Dec. 18,
1995

Skates, Ronald L. Data General Corporation, TO: Feb. 19,
1999;

Skogstad Aamo, Bjorn Kredittilsynet, Norway, TO: Apr. 10,
1997;

Skolnik, Bradley W. North American Securities
Administrators Association, Inc - Securities Commission, IN,
TO: Apr. 21, 1995; Mar. 16, 1999;

Slomka, Lars Berliner Borsenkreis e. V., Germany, FROM:
Aug. 6, 1995; TO: Aug. 22 1995

Slonaker, Norman D. Brown & Wood, TO: Feb. 27, 1998;

Sloves, Martin Lowe & Partners, FROM: Oct. 16, 1995; TO: Oct. 24, 1995

Smadja, Claude World Economic Forum, Switzerland, FROM: Sep. 26, 1996; TO: Oct. 18, 1996

Smale, John G. Proctor & Gamble Co. (Retired Chairman), TO: May 8, 1996;

Small, Jeffrey Davis Polk & Warwell, TO: Mar. 5, 1998

Smith, Adam US House of Representatives, FROM: Jan. 20, 2000; TO: May 19, 2000;

Smith, Bob US Senate, FROM: Apr. 21, 1997; TO: May 28, 1997;

Smith, David American Society of Corporate Secretaries, TO: Apr. 14, 1998;

Smith, Elliot J., FROM: Mar. 1, 2000; TO: Mar. 28, 2000;

Smith, Holly H. US SEC - Division of Market Regulation, TO: Feb. 17 1995

Smith, Kathy US SEC, TO: Jan. 9, 1996;

Smith, Marshall S. US Department of Education, FROM: Mar. 31, 1998; TO: May 29, 1998;

Smith, Nancy US SEC - Office of Investor Education, FROM: Dec. 4, 1998; TO: Sep. 29, 1995; Sep. 21, 1998 (Selma Salas, filed under Oct. 9, 1995); Jan. [5], 2000;

Smith, Norman H. US Marine Corps (ret.), TO: Mar. 16, 1999;

Smith, Robert C. US Senate, TO: Nov. 20, 1997;

Smith, Robert Ellis Privacy Journal, FROM: May 9, 2000; TO: Jun. 20, 2000;

Smith, Ronald Municipal Securities Rulemaking Board, TO: Feb. 17 1995

Smith, Roy New York University - Leonard N. Stern School of Business, TO: May 2, 1995

Smith, Thomas R. Brown & Wood, FROM: Dec. 17, 1996; TO: Jan. 17, 1997; Feb. 27, 1998; Mar. 16, 1999;

Smyth, James P. Broadcort Capital Corporation, TO: Mar. 16, 1999;

Smythe, Marianne Wilmer, Cutler & Pickering, FROM: May 21, 1998; TO: Oct. 23 1995; May 21, 1998;

Snider, Arnold H. Deerfield, FROM: Jan. 22, 1996; TO: Mar. 21, 1996;

Socha, Jacek Polish Securities Commission, Warszawa, Poland, FROM: Dec. 8, 1994; TO: Feb. 2, 1995; Jun. 25, 1999;

Sodhani, Arvind Intel Corporation, FROM: Apr. 7, 1997; TO: Apr. 23, 1997;

Sokoloff, Norman Jewish Communal Fund, TO: May 31, 1996

Sole, Kelly Ann Los Angeles Times, FROM: Feb. 18, 1998; TO: Feb. 27, 1998;

Solomon, Gerald B.H. US House of Representatives, FROM: Oct. 20, 1997; TO: Nov. 14, 1997;

Solomon, Howard W., FROM: Oct. 31, 2000; TO: Nov. 7, 2000;

Sommer, A. A., Jr. Morgan, Lewis & Bockius, FROM: May 9, 1994; Jan. 10, 1996; Nov. 13, 1997; Jul. 21, 1999; Mar. 10, 2000; TO: Oct. 23, 1995; Oct. 23, 1995; Jan. 22, 1996; Feb. 29, 1996; Mar. 6, 1996; May 27, 1997(Balamaci, N.); Nov. 17, 1997; Aug. 16, 1999;

Sommer, Murray I., TO: Apr. 20, 1995

Sondell, Nick W. Harbour Investments, Inc., TO: Apr. 20, 1995

Soskin, Eric J. Williams College Debate Union, FROM: May 18, 1998;

Souter, David H. US Supreme Court, TO: Oct. 5, 1998;

Sovern, Michael Columbia University - Law School, TO: Nov. 6, 1996

Spackman, Paul National Association of State Boards of Accountancy, TO: Nov. 27, 2000;

Spain, Catherine L. Government Finance Officers Association, TO: Jan. 9, 1997;

Sparks, David, TO: Dec. 21, 1998;

Spaventa, Luigi Commissione Nazionale per le Societa e la Borsa, Italy, TO: Jun. 4, 1998; Mar. 3, 1999; Jun. 8, 1999;

Specter, Arlen US Senate, FROM: Oct. 29, 1996; Dec. 18, 1996; Mar. 9, 1999; TO: Dec. 5, 1996; Jan. 22, 1997; Nov. 20, 1997; Apr. 1, 1999;

Spector, Lisa Legg Mason, Inc., TO: May 1, 1995

Spellman, Jim National Association of Securities Dealers, TO: Feb. 17 1995

Spemann, Thomas F. Arthur Andersen & Co., TO: Jan. 20, 2000 (Aronson, Tracey);

Spencer, Lee B., FROM: Sep. 12, 1997; TO: Sep. 30, 1997

Speyer, Jerry I. Tishman Speyer Properties, TO: Feb. 29, 2000

Spies, Joan V., TO: Apr. 20, 1995

Sporkin, Stanley US District Court for DC; Weil, Gotshal & Manges, LLP., FROM: May 25, 1994; Jan. 30, 1995; Feb. 2, 1996; Mar. 7, 1997; Mar. 31, 2000; TO: Mar. 7, 1995; Oct. 3, 1995; Feb. 20, 1996; Mar. 31, 1997; Jun. 6, 2000;

Stabler, Clay Boy Scouts of America, FROM: Dec. 19, 1997 (filed under Mar. 24, 1998)

Stabler, Penn Boy Scouts of America, TO: Mar. 24, 1998

Staggs, Gary K Pacific Stock Exchange, FROM: Oct. 24, 1995; TO: Nov. 13, 1995

Stalmach, Pavel Civil Democratic Section, Czech Republic, FROM: Oct. 9, 1995; TO: Oct. 27, 1995;

Staloff, Arnold Bloom Staloff Corporation, FROM: Feb. 10, 1997; TO: Feb. 27, 1997;

Stam, Heidi Vanguard Group, TO: Mar. 16, 1999;

Stamm, Alfred R., TO: Apr. 20, 1995

Stanley, Edmund A., Jr., FROM: Feb. 28, 1995 (received and filed under Mar. 3, 1995)

Stansbury, Harry C. Securities Commission, LA, TO: Apr. 21, 1995

Stanton, Frank, FROM: Feb. 28, 1995; TO: Mar. 7, 1995

Stapf, Scott Hastings Group, TO: Apr. 26, 1995

Stark, Fortney US House of Representatives, FROM: Dec. 10, 1997; TO: Jan. 20, 1998;

Starr, John H. Hampshire Securities Corporation, TO: Apr. 20, 1995

Stearns, Cliff US House of Representatives, FROM: May 23, 1997; TO: Aug. 1, 1997; Dec. 13, 1999;

Steele, Elisabeth White House - Office of Cabinet Affairs, TO: May 27, 1998;

Steere, William Pfizer Inc., TO: Mar. 24, 1999;

Stefany, Bruce R. Chubb Securities Corporation, TO: Mar. 2, 1995; TO: Apr. 20, 1995

Steffens, John L. Merrill Lynch, Pierce, Fenner & Smith, Inc.; Merrill Lynch & Co., FROM: Jul. 27, 2000; TO: Feb. 17 1995; Apr. 21, 1995; May 2, 1996; Aug. 15, 2000;

Steffensen, Mark A. US SEC - Division of Market Regulation,
TO: Dec. [6], 1995;

Stein, Herb American Enterprise Institute for Public Policy,
TO: Feb. 15, 1995

Steinbrenner, George M, III New York Yankees, FROM: Dec.
21, 2000 (filed under Gramm, Phil, Jan. 2, 2001)

Stenholm, Charles US House of Representatives, TO: Mar. 2,
2000;

Stephens, Ralph H. SEC, Los Angeles Office, FROM: Jul. 27,
1993; TO: Sep. 13, 1993

Stern, Walter P. Capital Group International, Inc., FROM:
Jun. 20, 1995; TO: Jul. 7, 1995

Sternberg, Stuart American Stock Exchange Specialist
Association, FROM: Jun. 10, 1998; TO: Jun. 30, 1998;

Stevens, John Paul US Supreme Court, TO: Oct. 5, 1998;

Stevens, Paul Schott, FROM: Aug. 13, 1998; TO: Oct. 28,
1998 (RE: Roye, Paul)

Stevens, Ted US Senate, FROM: Dec. 6, 2000; TO: Dec. 29,
1995; Feb. 9, 1996; Oct. 2, 1996; Mar. 13, 1998; Jul. 20,
1998; Jan. 4, 1999; Aug. 22, 2000; Sep. 15, 2000;

Stiglitz, Joseph E. Brookings Institution, TO: Jun. 13, 2000;

Stocker, Kurt Northwestern University - School of Law, TO:
Oct. 14, 1999;

Stockman, Steve US House of Representatives, TO: Mar. 27,
1995

Stoll, Barbara J., FROM: Jul. 27, 1993; TO: Aug. 13, 1993

Stone, Cathleen Douglas, TO: Sep. 16, 1998 (RE: Douglas,
William);

Stone, Deborah DLS Group, Inc., TO: Feb. 17 1995

Stone, Donald Merrill Lynch & Co., Inc., FROM: Mar. 23,
1998; TO: Jun. 18, 1996; Apr. 1, 1998;

Stone, Michael H. Securities Industry Association, FROM:
May 1996

Stone, Nan Harvard Business Review, TO: Feb. 12, 1996;
(See Herzlinger, Regina)

Strasser, Richard C. US SEC - Division of Enforcement, TO:
Jan. 21, 1998;

Straus, Irving L. 100% No-Load Mutual Fund Council;
Straus Corporate Communications, FROM: Aug. 7, 1997;
TO: Sep. 17, 1997;

Strauss, Robert S., TO: Dec. 18, 1996; Dec. 29, 1998;

Strauss, Theodore H. Bear, Stearns & Co., Inc., FROM: Mar. 20, 1997; TO: Mar. [31], 1997;

Strauss, Thomas W., FROM: Jan. 26, 1996; TO: Feb. 9, 1996;

Strickland, Ted US House of Representatives, TO: Feb. 18, 1997; Mar. 5, 1997;

Stroben, Donald R., FROM: Jan. 3, 1995; TO: Feb. 7, 1995

Stromberg, Jean Gleason US General Accounting Office, FROM: Feb. 25, 1999; TO: May 2, 1997; Mar. 25, 1999;

Strupp, Michael US SEC - Material Coordination, TO: Sep. 29, 1995

Stupak, Bart US House of Representatives, FROM: Sep. 4, 1997; TO: Feb. 18, 1997; Mar. 5, 1997; Oct. 2, 1997;

Sturms, David A. Vedder, Price, Kaufman & Kammholz, TO: Mar. 16, 1999;

Sullivan, Gregory D. International Association for Financial Planning, FROM: Mar. 13, 1996; TO: Mar. 29, 1996

Sullivan, Jerry D. Public Oversight Board, FROM: Apr. 22, 1998; TO: May 8, 1998;

Sullivan, Leon H., TO: May 4, 1999;

Sullivan, Neal North American Securities Administrators Association, Inc., TO: Sep. 5, 1995

Summers, Lawrence US Department of Treasury, FROM: Mar. 3, 1994; Nov. 14, 1995; TO: Dec. 18, 1995

Summers, Willam B., Jr National Association of Securities Dealers, TO: Feb. 17 1995

Sundick, Gary N. US SEC - Division of Enforcement, TO: Jun. 27, 1997;

Sundquist, Donald Governor, TN, TO: Aug. 21 1995

Surnamer, Joel M. Specialists Association at the New York Stock Exchange, FROM: Jun. 10, 1998; TO: Jun. 30, 1998;

Suta, I Putu Gede Ary Jakarta Stock Exchange, Indonesia, FROM: Feb. 26, 1997; TO: Mar. 5, 1997;

Sutherland, Brad D.A. Davidson & Co., TO: Apr. 20, 1995

Swedenborg, Lisa Women Employed, TO: Apr. 21, 1997;

Swindler, Jo Anne US SEC, TO: May 3, 1995

Swygert, H. Patrick Howard University, FROM: Oct. 22, 1998; TO: Oct. 28, 1998 (RE: Roye, Paul);

Syron, Richard F. American Stock Exchange, FROM: Aug. 30, 1995; Feb. 5, 1997; Apr. 20, 1998; Apr. 28, 1999; TO: Jan. 12, 1995; Feb. 17 1995; Jul. 7, 1995; Sep. 5, 1995; Oct. 5, 1995; Oct. 23 1995; Feb. 14, 1997; May 15, 1998; Feb. 22, 1999; May 17, 1999;

Szasz, Karoly Hungarian Financial Supervisory Authority, FROM: May 8, 2000; TO: May 26, 2000;

Szromba, Thomas US SEC - Midwest Regional Office, TO: Apr. 15, 1999;

Tabb, Stephen Capital Builders Advisory Services, Inc., FROM: Jul. 24, 1997; TO: Aug. 26, 1997;

Tabor, Ralph National Association fo Counties, TO: Jan. 9, 1997;

Tait, Robert R., TO: Jul. 31, 1997;

Talent, James M. US House of Representatives, FROM: Apr. 1, 1997; TO: Apr. 18, 1997; May 8, 1997;

Tanner, Douglas US SEC - Division of Corporation Finance, TO: Oct. 11, 1995

Tanoue, Donna Federal Deposit Insurance Corporation, FROM: Oct. 26, 2000; TO: Dec. 5, 2000;

Taranto, James Wall Street Journal, FROM: May 26, 1999 (poem); TO: Jun. 4, 1999 (poem);

Taub, Melvin Salomon Smith Barney, Inc., TO: Oct. 14, 1999;

Tauscher, Ellen O. US House of Representatives, FROM: Jan. 20, 2000; TO: May 19, 2000;

Tauzin, W. J. Billy US House of Representatives, FROM: Sep. 26, 1996; Apr. 4, 2000; TO: Feb. 27, 1995; Oct. 28, 1996; Feb. 18, 1997; Apr. 25, 2000;

Tavares, Matthew Boy Scouts of America, TO: Mar. 24, 1998

Taylor, Brent H. J.P. Morgan Securities, Inc., TO: Apr. 20, 1995

Taylor, Jane, FROM: May. 17, 1996; TO: Jul. 15, 1996;

Taylor, Pam National Association of State Treasurers, TO: Jan. 9, 1997;

Taylor, Wilson H. Cigna Companies Headquarters, TO: Mar. 2, 1995; TO: Apr. 20, 1995

Teach, Gordon L. Chicago Corporation, FROM: Oct. 24, 1996; TO: Nov. 13, 1996

Teison, Herbert J. Communications House, Inc., FROM: May 15, 2000; TO: Dec. 4, 2000;

Tejada Him, Eryz Ministerio de Comercia e Industrias,
Panama, FROM: Aug. 8, 1995; TO: Sep. 12, 1995

Tellep, Daniel M. Lockheed Martin, TO: May 1, 1995; May
8, 1996;

Tellini, Mark Charles Schwab & Co, Inc, TO: Mar. 10, 1998;

Terry, Robert D. Office of the Secretary of State, TO: May
14, 1998;

Terry, Virginia M. Securities Transfer Association, Inc.,
FROM: May 8, 1995; TO: Jun. 8, 1995;

Teslik, Sarah A.B. Counsil of Institutional Investors, FROM:
Sep. 9, 1999; Sep. 27, 1999; [Sep.], 1999; Nov. 15, 1999;
TO: Sep. 22, 1999; Oct. 25, 1999; Nov. 8, 1999; Dec. 30,
1999

Testain, Mitzie DLS Group, Inc., TO: Feb. 17, 1995

Tharpe, Don I. Association of School Business Official
International, TO: Jan. 9, 1997;

Thieke, Stephen G. J.P. Morgan Securities & Co.;
Counterparty Risk Management Policy Group (CRMPG),
FROM: Jun. 21, 1999; TO: Aug. 15, 1997; Jul. 13, 1999;

Thiel, Wilbert A. Chicago Corporation, TO: Sep. 13, 1995

Thienhom, Vasant SEC, Bangkok, Thailand, FROM: Feb. 1,
1995; TO: Feb. 10, 1995

Tisch, Lawrence CBS, Inc., TO: Feb. 20, 1996

Thomadakis, Stavros Hellenic Republic Capital Market
Commission, Greece, TO: Dec. 23, 1996;

Thomas, Arthur L. Securities Industry Association, FROM:
Mar. 20, 1997; TO: Apr. 4, 1997;

Thomas, Clarence US Supreme Court, TO: Oct. 5, 1998;

Thomas, Ronald Division of Securities, VA, TO: Apr. 21,
1995

Thomas, William M. US House of Representatives, FROM:
Jul. 17, 2000; TO: Aug. 16, 2000;

Thompson, Fred US Senate, TO: Aug. 21 1995; Mar. 13,
1998; Jul. 20, 1998; Jan. 4, 1999; Aug. 22, 2000; Sep. 15,
2000;

Thompson, Louis M. National Investor Relations Institite,
FROM: Apr. 25, 1996; TO: Apr. 20, 1995; May 2, 1996; May
9, 1996;

Thompson, Marc C. Charles Schwab & Co, Inc., FROM: May
22, 1996; TO: Jun. 24, 1996;

Thompson, Maureen Hastings Group; North American Securities Administrators Association, Inc., FROM: Oct. 23 1995 (Michael Stein); TO: Apr. 26, 1995

Thornburg, Richard L Kirkpatrick & Lockhart, TO: Oct. 23 1995

Thompson, Tommy G. Governor, WI, FROM: Dec. 5, 1997; TO: Jan. 20, 1998;

Thornburg, H. Garrett Thornburg Mortgage Asset Corporation, FROM: Oct. 4, 1995; Apr. 25, 1996; TO: Oct. 24, 1995; May 13, 1996;

Thorpe, Raymond US SEC - Communications, TO: Sep. 29, 1995

Tierney, John F. US House of Representatives, FROM: Nov. 18, 1997; TO: Dec. 11, 1997

Till, John G. Thornburg Management Company, Inc., TO: Apr. 20, 1995

Timmeny, Wallace L. McGuire Woods Battle & Boothe, FROM: May 12, 1995; TO: May 22, 1995

Tindall, Alphonso E. National Association of Securities Professionals, FROM: Mar. 17, 1995 TO: Apr. 19, 1995

Titus, Curtis V. Gager & Henry, Attorneys at Law, FROM: Aug. 13, 1993; TO: Aug. 24, 1993

Titzrath, Alfons Dresdner Bank AG, Germany, FROM: Apr. 10, 1995; TO: May 12, 1995

Tobar, Andres National Association of Hispanic Publications, TO: May 14, 1998;

Tobias, Randall Eli Lilly & Co., TO: May 1, 1995

Tobin, Eugene M., FROM: Oct. 7, 1999; TO: Oct. 13, 1999;

Tobin, James M. Squire, Sanders & Dempsey, FROM: Feb. 27, 1996; TO: Mar. 4, 1996

Tognino, John N. Security Traders Association, FROM: Mar. 31, 1997; TO: Aug. 27, 1997; Oct. 1, 1998;

Tolbert, William, Jr. US SEC - Division of Corporation Finance, TO: Oct. 11, 1995

Tolleris, Bea, FROM: May 7, 1998; TO: May 12, 1998;

Tomasco, Mark D. Investment Counsel Association of America, TO: Oct. 23 1995

Topp, Richard A. NYLife Securities Inc., TO: Mar. 2, 1995; Apr. 20, 1995

Torres, Frank C. Consumers Union, FROM: May 9, 2000; Aug. 1, 2000; TO: Jun. 20, 2000; Sep. 7, 2000; Nov. 27, 2000;

Torricelli, Robert C. US Senate, TO: Nov. 20, 1997;

Toruner, Yaman Istanbul Stock Exchange, Turkey, FROM: Aug. 12, 1993; TO: Aug. 27, 1993

Towers, Lois Fidelity Investments, TO: Feb. 17, 1995

Towns, Edolphus US House of Representatives, FROM: Nov. 20, 1997; Feb. 9, 2000; Jun. 8, 2000; TO: Feb. 18, 1997; Jan. 20, 1998; Oct. 10, 2000; Nov. 3, 2000;

Trachtenberg, Stephen Joel George Washington University, FROM: Apr. 10, 1995; May. 15, 1997 (RE: Trachtenberg, Peter); Jun. 12, 1997 (RE: Frankel, Damar); TO: May 1, 1995; Jun. 5, 1997; Jun. 23, 1997; Oct. 30, 1997;

Traficant, James A. US House of Representatives, FROM: Oct. 10, 1996; TO: Dec. 10, 1996

Trotman, Alexander A. Ford Motor Co., TO: May 1, 1995

Trowbridge, Alexander B., TO: Jan. 4, 1995

Trubin, John Citizens Committee for New York City, TO: Jan. 17, 1995

Tucker, Keith A. US SEC - Office of Information Technology, TO: Mar. 29, 1999;

Tufts, George, TO: Apr. 20, 1995

Tull, John E. US Commodity Futures Trading Commission, FROM: Jan. 29, 1996; TO: Feb. 2, 1996

Tully, Daniel P. Merrill Lynch, Pierce, Fenner & Smith, Inc; Merrill Lynch & Co., Inc., TO: Feb. 17, 1995; Mar. 2, 1995; Mar. 27, 1995; May 1, 1995; Jun. 7, 1995; Jul. 1, 1996; Apr. 10, 1997; Apr. 15, 1997;

Turner, Lynn E. Symbios Logic Inc.; US SEC - Chief Accountant, FROM: Dec. 23, 1997; Nov. 30, 1998 (Conway, Michael); Dec. 9, 1999 (Bowsher, Charles, Conway, Michael); TO: Jan. 20, 1998; Nov. 24, 1998; Dec. 21, 1999 (Bowsher, Charles);

Turner, Ted CNN, TO: Jan. 3, 1996;

Tweedie, David Accounting Standards Board, UK, TO: Jan. 29, 2001;

Tyler, Greg New York Stock Exchange

Tyson, Carl L. Department of Commerce, MI, TO: Apr. 21, 1995

Tyson, Laura D'Andrea Counsel of Economic Advisors, TO: Mar. 6, 1995

Udall, Mark US House of Representatives, FROM: Jan. 20, 2000; Oct. 25, 2000; TO: May 19, 2000; Nov. 8, 2000;

Uhlick, Lawrence R. Institute of International Bankers, FROM: Nov. 25, 1996; TO: Dec. 3, 1996

Ulland, James Department of Commerce, MN, TO: Apr. 21, 1995

Ullman, Christopher W. US SEC - Office of Public Affairs, TO: Apr. 8, 1998; May 14, 1998;

Underhill, Henry W. International Municipal Lawyers Association, [Dec. 1996 - Feb. 1998]

Unger, Laura US SEC, TO: May 14, 1998;

Unger, Leonard US SEC - Division of Market Regulation, TO: Mar. 16, 1995

Unruh, James Unisys, TO: Apr. 6, 1995

Vacco, Dennis C. Office of the Attorney General, NY, FROM: Sep. 25, 1997; TO: Oct. 16, 1997;

Van Brunt, Roy T. TenEyck Associates, Inc., FROM: Jun. 13, 1997; TO: Jun. 30, 1997;

van der Wolf, Tim Amsterdam Stock Exchange, Netherlands, FROM: Mar. 19, 1996; TO: Apr. 2, 1996

Van Gorkom, John National Council of Health Facilities Finance Authorities, TO: Jan. 9, 1997;

van Weezel, Don New York Stock Exchange, TO: Feb. 17, 1995

Van Zyl, Franso H. Financial Services Board, Republic of South Africa, TO: Mar. 7, 1995

Vander[...], Ben, FROM: Nov. 19, 1993

VanAntwerp, Deborah National Association of Securities Dealers, TO: Aug. 24, 1995

Vander Wheele, Julie E. Mesirow Financial, Inc., TO: Sep. 13, 1995

Vargas de Alvarez, Sonia Comision National de Valores, Bolivia, FROM: Feb. 4, 1997; TO: Feb. 10, 1997

Vargon, Michael J. Securities Division, NM, TO: Apr. 21, 1995

Varian, Hal R. University of California, Berkeley, CA, TO: Jun. 13, 2000;

Vass, O. Ray Merrill Lynch, Pierce, Fenner & Smith, Inc., TO: Feb. 17, 1995; Apr. 26, 1995

Veal, Daryl Robert Securities Commission, DC, TO: Apr. 21, 1995

Velli, Joseph M. Bank of New York, FROM: Sep. 17, 1996; TO: Oct. 8, 1996;

Veniero, Peter Office of the Attorney General, NJ, FROM: Sep. 25, 1997; TO: Oct. 16, 1997;

Vento, Bruce F. US House of Representatives, FROM: Oct. 10, 1996; May 9, 2000; TO: Dec. 10, 1996; Mar. 19, 1997; Jun. 20, 2000;

Vermilye, Andrew US Senate (Legislative Director for Richard H. Bryan), TO: Mar. 16, 1995

Veronis, John J. Veronis, Suhler & Associates, Inc., FROM: Apr. 6, 1998; TO: Apr. 15, 1998;

Vest, Herbie D. H.D. Investment Securities, Inc., TO: Apr. 20, 1995

Villachica, Steven DLS Group, Inc., TO: Feb. 17, 1995

Vimos, Paul, TO: Apr. 20, 1995

Vinsor, Melanie, FROM: Feb. 28, 1994

Virella, Federico E., Jr. Executive Assistant to US Attorney, Southern District of NY, TO: Nov. 12, 1998 (RE: Zarb, Frank);

Visclosky, Peter US House of Representatives, FROM: Oct. 10, 1996; TO: Dec. 10, 1996

Vives, Antonio Inter-America Development Bank, FROM: Dec. 17, 1996; TO: Dec. 19, 1996;

Volcker, Paul James D. Wolfensohn, Inc., TO: Nov. 6, 1996; May 23, 2000; Nov. 27, 2000; Jan. 29, 2001;

von Schaumburg, Gregory US SEC - Midwest Regional Office, TO: Apr. 15, 1999;

Vonderschmitt, Bernard V. XILINX, FROM: Feb. 10, 1995; TO: Feb. 22, 1995; Apr. 20, 1995; May 2, 1996

von der Heyden, Karl M. Pepsico, Inc., TO: Dec. 5, 1997;

von Rosen, Rudiger Federation of German Stock Exchanges, Germany, FROM: Jul. 17, 1996; TO: Jul. 23, 1996;

Vorontsov, Yuli M. Ambassador to USA, Russian Federation, FROM: Sep. 19, 1995; TO: Sep. 25, 1995

Wachner, Linda J. Warnaco, TO: May 1, 1995

Wadsworth, John S., Jr. Morgan Stanley Dean Witter Asia Limited, FROM: Jun. 12, 2000; Sep. 5, 2000; TO: Jul. 24, 2000; Oct. 5, 2000;

Wagner, Ellen DLS Group, Inc., TO: Feb. 17, 1995

Wagner, Morton J. Salomon Smith Barney, Inc., TO: Apr. 14, 1998;

Waigel, Theodore Minister of Finance, Germany, TO: Nov. 3, 1994 (Bentsen, Lloyd)

Waitzer, Edward J. Ontario Securuties Commission, Canada; Stikeman, Elliott;, FROM: Feb. 19, 1997; TO: May 28, 1996; Aug. 30, 1996; Mar. 5, 1997;

Walinskas, Michael US SEC - Division of Market Regulation, TO: Nov. 16, 1998;

Walker, Charles F. Securities Commissioner, DE, FROM: Dec. 17, 1997 (RE: Long, Ron); TO: Jan. 20, 1998;

Walker, David M. US Comptroller General - General Accounting Office, TO: Oct. 28, 1998;

Walker, Edward S. US Ambassador, Egypt, FROM: Aug. 28, 1997; TO: Feb. 27, 1996; Sep. 18, 1997;

Walker, Richard H. US SEC - Division of Enforcement, TO: May 14, 1998;

Wallace, Ann US SEC - Division of Corporation Finance, TO: Jan. 20, 1998;

Wallace, James Cosmos Club, TO: Oct. 10, 1997;

Wallace, John F. Philadelphia Stock Exchange, TO: Feb. 17, 1995; Mar. 7, 1997;

Wallace, Richard G. Boy Scouts of America, FROM: May 20, 1997;

Wallach, Rochelle L. AAL Capital Management Corporation, TO: Apr. 20, 1995

Waller, Salvadore National Association of Investors Corp. - MD Council

Walsh, John Group of Thirty, FROM: Mar. 28, 1995; TO: Apr. 11, 1995

Walter, Elisse B. Commodity Futures Trading Commission, TO: Nov. 21, 1994 (from Brandon Becker)

Walter, Ingo New York University - Leonard N. Stern School of Business, TO: May 2, 1995

Waltman, Steven Folio FN, TO: Jun. 6, 2000;

Wander, Herbert S. Katten, Muchin & Zavis, TO: Apr. 30, 1998;

Wang, [George], FROM: [n.d.]

Ward, Richard S. ITT Corporation, TO: Dec. 23, 1996;

Warner, Douglas A., III J.P. Morgan Securities, Inc., TO:
Apr. 8, 1998; Dec. 28, 1998; Jan. 5, 1999; Jan. 29, 2001;

Warner, Barbara A. International Association for Financial
Planning, TO: May 14, 1998;

Warner, James Warner Group, Inc., FROM: May 5, 1995;
TO: May 31, 1995

Warner, John US Senate, FROM: Jan. 23, 1995; TO: Feb. 13,
1995

Warthen, Robert National Association of Securities Dealers,
TO: Aug. 24, 1995

Waters, Maxine US House of Representatives, FROM: Nov.
20, 1997; Dec. 10, 1997; May 9, 2000; TO: Jan. 20, 1998
(2); Jun. 20, 2000;

Watson, Jack North American Management, Inc., TO: Apr.
20, 1995

Watson, John L., III Security Traders Association, FROM:
Jul. 30, 1993; Nov. 16, 1995; TO: Aug. 23, 1993; Dec. 8,
1995

Watt, Melvin US House of Representatives, FROM: Oct. 10,
1996; Nov. 20, 1997; TO: Dec. 10, 1996; Jan. 20, 1998;

Waxman, Henry A. US House of Representatives, FROM:
Oct. 10, 1996; Dec. 10, 1997; May 31, 2000 (filed under Eli
Mason, Jun. 21, 2000); TO: Dec. 10, 1996; Jan. 20, 1998;

Weaver, Vanessa Deputy Assistant to the President of US,
TO: Mar. 11, 1998;

Webner, Wolfgang Boy Scouts of America, FROM: Feb. 10,
1998 (filed under Mar. 24, 1998)

Webster, William H. Milbank, Tweed, Hadley & McCloy,
TO: Aug. 29, 1997;

Wedbush, Edward W. Wedbush Morgan Securities, FROM:
Oct. 24, 1995; TO: Nov. 8, 1995

Wee Cho Yaw United Overseas Bank, Singapore, TO: May 5,
1995

Weill, Sanford I. Travelers Corp., TO: Mar. 27, 1995; Jun. 7,
1995; Nov. 23, 1998;

Weinbach, Arthur F. Automatic Data Processing, Inc.,
FROM: May 5, 1998; TO: May 27, 1998;

Weinbach, Laurence A. Arthur Andersen & Co., FROM: Sep.
25, 1995; TO: Aug. 7, 1995; Oct. 20, 1995

Weinberger, Steven Harvard Medical School - Carl J.
Shapiro Institute for Education and Research, FROM: Apr. 3,
2000; TO: Apr. 14, 2000;

Weinig, Sheldon Sony Engineering and Manufacturing of America, FROM: Feb. 9, 1995 TO: Mar. 2, 1995

Weinstein, Michael M. New York Times, FROM: Jan. 23, 2001; TO: Jan. 24, 2001;

Weisbrod, Carl Alliance For Downtown New York, FROM: Oct. 15, 1997; TO: Jan. 30, 1995; Oct. 30, 1997;

Weiser, Irving Dain Bosworth Inc.; Dain Rauscher Corp., FROM: Jul. 27, 2000; TO: Mar. 2, 1995; Mar. 27, 1995; Apr. 20, 1995; Aug. 4, 1999; Aug. 15, 2000;

Weiss, Jeffrey M., TO: Apr. 20, 1995

Weiss, Mary H. Driehaus Capitol Management, Incl, FROM: Feb. 21, 1995; TO: Feb. 27, 1995

Weiss, Stanley A. Business Executives for National Security, Inc., FROM: Aug. 5, 1993; TO: Aug. 9, 1993

Weissblum, Cynthia Rivera Sponsors for Educational Opportunity, FROM: Feb. 9, 1998; TO: Mar. 18, 1998;

Weitz, Carlos E. Comision National de Valores, Argentina, TO: Oct. 19, 2000;

Welch, John F. General Electric Company, FROM: Mar. 14, 2000; TO: Mar. 29, 2000; Oct. 4, 2000; Jan. 29, 2001;

Wells, Frank G. Walt Disney Co., FROM: Jul. 26, 1993; TO: Aug. 4, 1993

Wells, Jeffrey State Senate, CO; Council of State Governments., FROM: Mar. 18, 1997; TO: Mar. 26, 1997;

Wellstone, Paul US Senate, FROM: Jun. 25, 1998 (RE: Jones, B. Todd); TO: Jun. 2, 1998;

Wendt, Gary C. General Electric Capital Corporation, FROM: May 5, 1998; TO: May 28, 1998;

Wertheim, Andrew J. US SEC - Northeast Regional Office, TO: Feb. 24, 1995

Werts, Jonathan Pacific Exchange Specialist Association, FROM: Jun. 10, 1998; TO: Jun. 30, 1998;

Wessel, Richard P. US SEC - Atlanta District Office, TO: Dec. 30, 1996; May 14, 1998;

West, Fowler North American Securities Administrators Association, Inc., TO: Feb. 17 1995

West, Steven K. Sullivan & Cromwell, FROM: Sep. 8, 1995; TO: Sep. 19, 1995

Weston, Josh S. Automatic Data Processing, Inc., FROM: Aug. 24, 1998 (RE: Trachtenberg, Steve); TO: Aug. 31, 1998; Sep. 14, 1998;

Wetlaufer, Eric M. Boston Security Analysts Society, Inc.,
FROM: Dec. 12 1997; TO: Jan. 8, 1998;

Wheat, Allen D. Credit Suisse First Boston Corp., TO: Mar.
27, 1995; Jun. 7, 1995; Apr. 10, 1997; Aug. 15, 1997; Oct.
17, 1997; Apr. 8, 1998; Oct. 22, 1998; Dec. 28, 1998; Jan.
5, 1999;

Wheeler, James E. University of Michigan, MI - Business
School, FROM: Oct. 22, 1998; TO: Nov. 20, 1998;

White, John Harvard University - John F. Kennedy School
of Government, TO: Aug. 16, 1999;

White, Mary Jo US Attorney, TO: Oct. 14, 1997;

White, Rick US House of Representatives, TO: Feb. 18,
1997; Mar. 5, 1997;

Whitehead, John C. AEA Investors, Inc., TO: Sep. 29, 1995;
Sep. 28, 1999; Nov. 27, 2000; Jan. 29, 2001;

Whittaker, Andrew Securities and Investments Board, UK,
TO: Mar. 6, 1995 (re: Shephard-Walwyn, Tim)

Wick, Charles Z. Charles Z. Wich & Associates, FROM: Sep.
22, 1995; TO: Oct. 10, 1995

Wigmore, Barrie A. Goldman Sachs Group, FROM: Feb. 22,
1999; TO: Mar. 11, 1999;

Wild, Stephen K. Securities America, Inc., TO: Apr. 20, 1995

Wickers, Gail PaineWebber, TO: May 2, 1995

Wiener, Daniel P. Adviser Investment Management, FROM:
Mar. 29, 1999; TO: Apr. 5, 1999;

Wiese, C. F. Registrar of Banks, Republic of South Africa,
TO: Mar. 7, 1995

Wiley, David W., III Wiley Brothers Inc., TO: Aug. 23, 1995

Wilks, Donald R., TO: Apr. 20, 1995

Williams, Harold M. J. Paul Getty Trust; Getty Foundation,
FROM: May 22, 1997; TO: Oct. 5, 1995; Nov. 5, 1996; Nov.
6, 1996; Jun. 18, 1997; Jul. 28, 2000;

Williams, Kaye Securities Industry Association, TO: Sep. 13,
1995

Williams, Linda New York Stock Exchange, TO: Feb. 17
1995

Williams, William J., Jr. Sullivan & Cromwell, FROM: Jan.
23, 1997; Jun. 20, 1997; TO: Jul. 7, 1995; Oct. 23, 1995;
Mar. 6, 1996; Feb. 4, 1997; May 27, 1997(Balamaci, N.);
Jul. 24, 1997; Feb. 27, 1998;

Willig, Robin National Academy Foundation, TO: Apr. 14, 1998;

Wilmers, Robert G. M&T Bank, TO: Jul. 13, 2000;

Wilpon, Fred, FROM: May 8, 1998; TO: May 13, 1998;

Wilson, Charles US House of Representatives, TO: Mar. 27, 1995

Wilson, Craig D. US SEC, TO: May 7, 1996

Wilson, Gwen DLS Group, Inc., TO: Feb. 17 1995

Wilson, Heather US House of Representatives, TO: Dec. 22, 1999

[Wilson, Malcolm] Kent, Hazzard, Jaeger, Greer, Wilson & Fay, FROM: Mar. 17, 1994 (personal file)

Wilson, Michael RRC Dominion Securities, TO: Aug. 16, 1999;

Wine, John, Jr. Securities Commissioner, KS, TO: Apr. 21, 1995

Winkler, Matthew Bloomberg Business News, TO: Aug. 16, 1995

Winslow, Paul H. Apple Computer, Inc., FROM: Oct. 19, 1998; TO: Oct. 26, 1998;

Winters, Robert Prudential Insurance Company of America, TO: Mar. 2, 1995; Apr. 20, 1995

Wisner, Frank G. US Ambassador, India, FROM: Apr. 23, 1996; TO: May 9, 1996;

Wittich, Georg Federal Securities Supervisory Office, Germany, FROM: Apr. 29, 1997; TO: Dec. 26, 1996; Apr. 25, 1997; May 8, 1997; Nov. 19, 1998;

Woiski, Ronny Swedish Financial Supervisory Authority, Sweden, TO: Dec. 26, 1996;

Wolcott, Laurens E. Salisbury School, CT, TO: Jan. 2, 1996

Wolf, Frank R. US House of Representatives, FROM: Jan. 9, 1995 (Kathryn Fulton); Sep. 30, 1999; Oct. 7, 1999; Mar. 22, 2000; TO: Jan. 30, 1995 (Kathryn Fulton); Oct. 22, 1999; May 8, 2000;

Wolfensohn, James D. World Bank, TO: Dec. 6, 1995; Oct. 28, 1998; Nov. 22, 1999 (RE: Maco, Paul)

Woods, Robert A. Woods Capital Corporation, FROM: Jun. 24, 1996;

Wolf, Harry Institute for Advanced Study, FROM: Apr. 7, 1998; TO: Apr. 15, 1998;

Woolsey, Lynn US House of Representatives, FROM: Dec. 10, 1997; TO: Jan. 20, 1998;

Wouters, Joyce B., FROM: Aug. 24, 1993: TO: Sep. 13, 1993

Wright, Barbara R. Heather Investments, TO: Apr. 20, 1995

Wright-Samuel, Rosetta US SEC - Procurement, TO: Sep. 29, 1995

Wright, Jacquelyn H. US SEC - Desktop Publishing, TO: Oct. 6, 1997;

Wright, Michael W. Supervalu, Inc., FROM: Mar. 6, 1997; TO: Mar. 13, 1997;

Wrighton, Peter De Oude Kelder Fram, Republic of South Africa, FROM: Mar. 6, 1995 TO: Mar. 7, 1995;

Wulff, Richard US SEC, TO: Jun. 19, 1995;

Wyden, Ron US House of Representatives; US Senate, FROM: Apr. 12, 1995; Jun. 12, 1995; Jan. 10, 1997; Feb. 13, 1998; TO: May 24, 1995; Jan. 31, 1997; Mar. 4, 1998

Wynn, Albert E. US House of Representatives, TO: Feb. 18, 1997; Mar. 5, 1997;

Yagui Tomona, Alberto Comision Nacional Supervisor de Empresas y Valores, Peru, TO: Apr. 10, 1996

Yamaguchi, Mitsuhide Tokyo Stock Exchange, Japan, TO: Jun. 20, 1995

Yamashita, Russel H. Commissioner of Securities, HI, TO: Apr. 21, 1995; Jan. 5, 1998;

Yarur Elsaca, Daniel Seperintendencia de Valores y Securos, Chile, FROM: Dec. 26, 1994; Aug. 23, 1995; Jan. 14, 1997; TO: Feb. 8, 1995; Sep. 12, 1995; Jan. 31, 1997; Jun. 25, 1999; [Nov.]. 1999; Mar. 21, 2000;

Yormak, Jonathon Kent, TO: Sep. 27, 1995

Young, Bruce J. Mesirow Financial, Inc., TO: Sep. 13, 1995

Young, C.W. Bill US House of Representatives, TO: Aug. 22, 2000; Sep. 15, 2000;

Young-Spitzer, Diane Securities Division, MA, TO: May 14, 1998;

Zang, Leonard J. Customized Portfolios Ltd., TO: Mar. 20, 1996;

Zantman, Jan Securities Board of Netherlands, TO: Dec. 26, 1996;

Zarb, Frank National Association of Securities Dealers, FROM: Mar. 27, 1997; Aug. 7, 1997; Mar. 6, 2000; TO: Mar. 14, 1997; Apr. 4, 1997; Jul. 17, 1997 (RE: O'Neil,

Roderick); Aug. 9, 1997; Aug. 25, 1997; Sep. 9, 1997; Oct. 23, 1997; Apr. 17, 1998 (2); Feb. 22, 1999; Mar. 24, 1999; Jul. 26, 1999; Mar. 8, 2000

Zarella, Dominic A., TO: Apr. 20, 1995

Zelinka, Robert Southeast Research Partners, Inc., FROM: Nov. 6, 1995; TO: Aug. 5, 1993; Nov. 14, 1995;

Zarr, Gary American Museum of Natural History, FROM: Aug. 2, 2000; TO: Aug. 9, 2000;

Zehner, Mark US SEC - Office of Municipal Securities, TO: Dec. 29, 1998;

Zeller, Wilhelm Hannover Ruckversicherungs-Aktiengesellschaft, TO: Apr. 25, 1997;

Zhou, Xiaochuan China Securities Regulatory Commission, People's Republic of China, TO: Jan. 24, 2001;

Zhou, Zhengqing China Securities Regulatory Commission, People's Republic of China, TO: Sep. 26, 1997; Dec. 5, 1997;

Zimmer, Lynn, TO: Oct. 29, 1993

Zises, Alvin, TO: Apr. 20, 1995

Zises, Helen, TO: Apr. 20, 1995

Zumwalt, E.R., Jr. Admiral, US Navy (retired), FROM: Apr. 9, 1998; TO: Apr. 15, 1998;

Zumwalt, James G., II, FROM: Nov. 21, 1995; Jun. 18, 1997; TO: Dec. 7, 1995; Jun. 27, 1997;

Board Members Qualifications Review Board, TO: May 6, 1996;

Board of Management Frankfurter Wertpapierbörse, Germany, TO: May 28, 1996

Board of Directors 173-175 Riverside Drive Tenants Corp., TO: Jun. 18, 1996 (re: Carter, Jon)

To Whom it May Concern Downtown Sam, TO: Feb. 9, 2000 (RE: Hastings, Larry)

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