

# MEMORANDUM

December 7, 1973

## MEMORANDUM TO THE RECORDS

FROM: COMMISSIONER EVANS

RE : Telephone call from Bernie Moss

On December 4 & 5 I received a telephone call from Mr. Moss requesting that I check up on the status of a Regulation A filing for some friends of his. Mr. Moss called me because he had known me when I worked in the Senate. The name of the company involved was Rotunda. I had my Legal Assistant contact the Division of Corporation Finance, Branch of Regulation A, to determine what was happening.

On December 7 we learned that the SEC had sent out a letter of comment on December 5.

On the afternoon of December 7, I received a phone call from Mr. Moss. He said that they had received the comment letter but felt that the man who had handled it did not know too much about theatrical filings because some of the requests seemed to be insignificant. Mr. Moss wanted to know if there was someone in the Commission he could contact so that he wouldn't have to bother me. I told him he should contact Ruth Appleton, who is in charge of Reg. A. I also told him that I would contact her and tell her to expect a call but that she should not give any special preference to this case over others and it should be handled in the usual manner by either her or the Washington Regional Office who had worked on the letter. I indicated to both that I had no personal interest in what happened.