

|  |                       |      |       |      |           |
|--|-----------------------|------|-------|------|-----------|
| 8th Circuit.....   | Linda Stirling        | GC   | 7065  | 6-6  | 942-0952  |
| 9th Circuit.....   | Lucinda McConathy     | GC   | 6122  | 6-6  | 942-0904  |
| 10th Circuit.....  | Brian Bellardo        | GC   | 6117  | 6-6  | 942-0820  |
| 11th Circuit.....  | Susan Yasbar          | GC   | 7054  | 6-6  | 942-0840  |
| DC.....  | Joseph Franco         | GC   | 6173  | 6-6  | 942-0880  |
| <b>CLEARING AGENCIES.....</b>  | Ester Saverson        | MR   | 5179  | 5-1  | 942-0165  |
| <b>CLIPS, DAILY NEWS.....</b>  | Irene Proctor         | OPA  | 7103  | 7-1  | 942-0020  |
|  | Mary Neal             | OPA  | 7103  | 7-1  | 942-0020  |
| <b>COAL RELATED SECURITIES.....</b>  | Carlos Chavez         | CF   | 3095  | 3-7  | 942-2970  |
| <b>CODE OF FEDERAL REGULATIONS.....</b>                                      | Rogell W. Burkett     | OAPM | 2047  | 2-3  | 942-4056  |
| <b>COMMISSION'S ADMINISTRATIVE<br/>REGULATIONS (MANUAL).....</b>             | Rogell W. Burkett     | OAPM | 2047  | 2-3  | 942-4056  |
| <b>COMMISSIONS (Securities)<br/> (§ 6(e) &amp; 28(e)).....</b>               | Robert L.D. Colby     | MR   | 5006  | 5-1  | 942-0094* |
| <b>COMMODITIES FUTURES TRADING.....</b>                                      | Roger Coffin          | MR   | 5060  | 5-1  | 942-0136  |
|  | Judith Poppalardo     | MR   | 5128  | 5-1  | 942-4165  |
| <b>COMMUNICATIONS industry group.....</b>                                    | H. Christopher Owings | CF   | 7081  | 7-5  | 942-1900  |
| <b>COMPANIES FILING ANNUAL REPORTS,<br/> DIRECTORY OF - INFORMATION.....</b> | Quality Control       | OFIS | 900   | A-1  | 000-4475# |
| <b>COMPLAINTS BY INVESTORS.....</b>  | Consumer Specialists  | OS   | 2130  | 2-6  | 942-7040  |
| <b>COMPLIANCE EXAMINER TRAINING.....</b>                                     | Christine Dear        | MR   | 5148  | 5-1  | 942-0734  |
| <b>COMPUTER OPERATIONS</b>   |                       |      |       |      |           |
| Mainframe Hotline.....   | Computer Room         | OIT  | 1500  | 0-5  | 942-8653  |
| Microcomputers Hotline.....  | USIC                  | OIT  | 2204  | 2-10 | 942-4357  |
| <b>COMPUTERS industry group.....</b>   | Steven C. Duvall      | CF   | 3072  | 3-5  | 942-1900  |
| <b>CONDOMINIUMS.....</b>   | Chief Counsel         | CF   | 3026  | 3-3  | 942-2870  |
| <b>CONDUCT REGULATION.....</b>   | Ellen Bliss           | OAPM | 2051  | 2-2A | 942-4092  |
| Investigations & Inquiries.....  | Lyn Blatch            | GC   | 7143  | 6-6  | 942-0970  |
| <b>CONFERENCE ROOM RESERVATIONS:</b>   |                       |      |       |      |           |
| 3059.....  | Lolita Adgeron        | CF   | 3010  | 3-1  | 942-2809  |
| 4008.....  | Elvin Nazario         | ENF  | 4017  | 4-1  | 942-4727  |
| 5059.....  | Ella Hawkins          | MR   | 5202  | 5-1  | 942-0075  |
| 6065.....  | Michelle Thomas       | GC   | 6077  | 6-6  | 942-0958  |
| 10046.....   | Juanita Gardner       | IM   | 10055 | 10-6 | 942-0710  |
| 1C30.....  |                       | OS   | 6183  | 6-9  | 942-7070  |
| 8C40.....  | Babita Bailey         | OAPM | 2029  | 2-3  | 942-4080  |
| Operations Center.....   | Vanessa Lee           | OAPM | 2458  | 0-21 | 942-4986  |
| <b>CONFIDENTIAL TREATMENT REQUESTS (Rule 200.83)</b>                         |                       |      |       |      |           |
| Receipt of Request.....  | FOIA/PA               | OED  | 2115  | 2-11 | 942-4320  |
| Procedures.....  | FOIA/PA               | OED  | 2115  | 2-11 | 942-4320  |
| <b>CONFIRMATIONS (Rule 10b-10).....</b>                                      | Robert L.D. Colby     | MR   | 5044  | 5-1  | 942-0094  |
| <b>CONGRESSIONAL INQUIRIES.....</b>  | Legislative Affairs   | ES   | 6012  | 6-2  | 942-0014  |

\*TDD(TTY) Voice Available

#Operations Center ANNEX: Dial 942-8970, plus 4 Digit Extension  
 Long Distance: HQ to Regions: Dial 9 - 1 - Area Code - 7 Digit Number  
 Long Distance: Regions to HQ: Dial 8 - Area Code - 7 Digit Number

|   |                           |      |       |      |                       |
|---|---------------------------|------|-------|------|-----------------------|
| CONSUMER AFFAIRS.....   | Consumer Specialists      | OS   | 2130  | 2-6  | 942-7040              |
| CONTAINERS industry group.....  | Steven Duvall             | CF   | 3072  | 3-5  | 942-1950              |
| <b>CONTINUANCE &amp; RE-ENTRY APPLICATIONS</b>                                    |                           |      |       |      |                       |
| (Rule 19h-1).....   | Richard Pullano           | MR   | 5126  | 5-1  | 942-0752              |
|   | Thomas D. Hamill          | ENF  | 4199  | 4-8  | 942-4636              |
| CONTRACTING.....  | Jean Ryan                 | OAPM | 2464  | 0-20 | 942-4993              |
| <b>CONTRACTORS, BUILDING MATERIALS &amp; RELATED SERVICES industry group.....</b> |                           |      |       |      |                       |
|   | Steven Duvall             | CF   | 3072  | 3-5  | 942-1950              |
| <b>COPYING ROOMS.....</b>   |                           |      |       |      |                       |
|   |                           |      | 3C06  |      |                       |
|   |                           |      | 3039  |      |                       |
|   |                           |      | 4039  |      |                       |
|   |                           |      | 4099  |      |                       |
|   |                           |      | 5051  |      |                       |
|   |                           |      | 5047  |      |                       |
|   |                           |      | 6083  |      |                       |
|   |                           |      | 6187  |      |                       |
|   |                           |      | 7154  |      |                       |
|   |                           |      | 9001  |      |                       |
|   |                           |      | 10195 |      |                       |
| <b>COPYING SERVICES (For Staff Only)</b>  |                           |      |       |      |                       |
| Approval (in house).....  | Michael Bowlding          | OAPM | 3C08  | C-11 | 942-4035              |
| Approval (Outside copying).....   | David Miller              | OAPM | 2C40  | C-9  | 942-4030              |
| Copy Room.....  | Michael Bowlding          | OAPM | 3C08  | C-11 | 942-4035              |
| Copying Equipment Service/Repair....  | Samuel Watson             | OAPM | 2C40  | C-9  | 942-4033              |
| CORPORATE FILINGS (Copies/Info).....  | Public Reference          | OFIS | 1024  | 1-6  | 942-8090<br>942-8092* |
| CORPORATE GOVERNANCE.....   | Chief Counsel             | CF   | 3018  | 3-3  | 942-2900              |
| CORPORATE REGULATION ENFORCEMENT.....   | Ellen B. Ross             | ENF  | 5093  | 5-3  | 942-4770              |
| CORPORATE SECURITIES OFFERINGS.....   | Hugh Haworth              | OEA  | 9009  | 9-1  | 942-8020              |
| <b>CORPORATE TAKEOVERS.....</b>   |                           |      |       |      |                       |
|   | Bruce A. Hiler            | ENF  | 4012  | 4-1  | 942-4542              |
|   | Jerry A. Isenberg         | ENF  | 4093  | 4-3  | 942-4652              |
|   | William Dale              | OEA  | 9189  | 9-1  | 942-8020              |
| CORPORATION FINANCE ENFORCEMENT.....  | Ellen B. Ross             | ENF  | 5093  | 5-3  | 942-4770              |
| CORPORATION INDEX.....  | Quality Control           | OFIS | 900   | A-1  | 000-4475#             |
| <b>CORRESPONDENCE</b>   |                           |      |       |      |                       |
| Chairman.....   | Correspondence Assisant   | ES   | 6008  | 6-1  | 942-0112              |
| Classification - OFICS.....   | Records Management        | OFIS | 500   | A-3  | 000-4650#             |
| Congressional.....  | Legislative Affairs       | ES   | 6017  | 6-2  | 942-0014              |
| Consumer Affairs.....   | Consumer Specialists      | OS   | 2130  | 2-6  | 942-7040              |
| Comment Letters.....  | Bernice Williams          | OS   | 6183  | 6-9  | 942-7068              |
| <b>COUNSELORS, EEO</b>  |                           |      |       |      |                       |
| (See Equal Employment Opportunity Office Counselors)                              |                           |      |       |      |                       |
| COURT REPORTERS.....  | Elvin Nazario             | ENF  | 4017  | 4-1  | 942-4727              |
| <b>CPR (Cardiopulmonary Resuscitation)...</b>                                     |                           |      |       |      |                       |
|   | Nurse - Judiciary Plaza   | HHS  | 7040  | 7-4  | 942-4120              |
|   | Nurse - Operations Center | HHS  | 2325  |      | 000-3888#             |

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Long Distance: HQ to Regions: Dial 9 - 1 - Area Code - 7 Digit Number  
Long Distance: Regions to HQ: Dial 8 - Area Code - 7 Digit Number

|  |                         |      |      |      |                       |
|--|-------------------------|------|------|------|-----------------------|
| CREDIT REGULATION (§7 & 11(d)(1)).....   | Robert L.D. Colby       | MR   | 5006 | 5-1  | 942-0094              |
|  | Michael A. Macchiarolli | MR   | 5048 | 5-1  | 942-0132              |
| <b>CREDIT UNION</b>  |                         |      |      |      |                       |
| CSC - closest branch is.....   | 6th & Pennsylvania Ave  |      |      |      | 326-2317              |
| CRIMINAL REFERENCE.....  | Laura R. Singer         | ENF  | 4108 | 4-5  | 942-4792              |
| <b>CUSTOMER PROTECTION/RESERVE REQUIREMENTS (Rule 15c3-3).....</b>   |                         |      |      |      |                       |
|  | Michael A. Macchiarolli | MR   | 5048 | 5-1  | 942-0132              |
| DAILY NEWS CLIPS.....  | Irene Proctor           | OPA  | 7103 | 7-1  | 942-0020              |
|  | Mary Neal               | OPA  | 7103 | 7-1  | 942-0020              |
| DAY PASS.....  | Facilities              | OAPM | 2C00 | C-8  | 942-4010              |
| DEAF/HARD OF HEARING EMPLOYEES LIAISON.<br>(See also: Sign Language Interpreter<br>Requests; Disability and SEC<br>Employment; Disability Issues Advisory<br>Committee Information; and TDD(TTY)<br>Information and Voice/TDD Available<br>Numbers.) | Nancy Wolynetz          | OAPM | 2051 | 2-3  | 942-4091<br>942-4075* |
|  | Karen M. Smith          | EEO  | 2177 | 2-12 | 942-0055<br>942-9546* |
| DECISIONS & OPINIONS OF THE<br>COMMISSION.....   | Anne E. Chafer          | GC   | 6033 | 6-6  | 942-0950              |
| DEFENSE OF ACTIONS AGAINST<br>COMMISSION & STAFF.....  | Paul Gonson             | GC   | 6084 | 6-6  | 942-0910              |
|  | Richard Humes           | GC   | 7049 | 6-6  | 942-0940              |
| DELINQUENCY CONTROL.....   | Quality Control         | OFIS | 900  | A-1  | 000-4475#             |
| DELINQUENT REPORTS.....  | Barbara L. Gunn         | ENF  | 5091 | 5-3  | 942-4634              |
| DELISTING OF EXCHANGE SECURITIES.....  |                         | MR   | 5185 | 5-1  | 942-0186              |
| DEPOSITORIES.....  | Ester Saverson, Jr.     | MR   | 5179 | 5-1  | 942-0165              |
| DESKTOP PUBLISHING.....  | Lemuel Canady           | OAPM | 9103 | 9-6  | 942-4055              |
|  | Jackie Wright           | OAPM | 9103 | 9-6  | 942-4047              |
| DIRECTORY BOARDS.....  | Michelle Walker         | OAPM | 2C14 | C-8  | 942-4075*             |
| <b>DISABILITY AND SEC EMPLOYMENT INFORMATION</b>   |                         |      |      |      |                       |
| Accommodations of SEC Employee Needs.  | Nancy Wolynetz          | OAPM | 2029 | 2-2A | 942-4091<br>942-4075* |
| Complaints of Employment Discrimina-<br>tion Based on Physical or Mental<br>Disability. (See Equal Employment<br>Opportunity Office Counselors)<br>TTY Users Phone.....<br>(or) Use Telephone Relay Center to<br>Phone EEO Counselors                |                         | EEO  |      |      | 942-9546*             |
| Recruiting and Selective Placement<br>Coordinator.....   | Nancy Wolynetz          | OAPM | 2029 | 2-3  | 942-4091<br>942-4075* |
| Rehabilitation Act Information.....  | Nancy Wolynetz          | OAPM | 2029 | 2-3  | 942-4091<br>942-4075* |
|  | Karen Smith             | EEO  | 2177 | 2-12 | 942-0055<br>942-9546* |

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**DISABILITY ISSUES ADVISORY COMMITTEE  
INFORMATION**

|   |                                    |      |       |       |                       |
|---|------------------------------------|------|-------|-------|-----------------------|
| EEO Office Liaison.....                             | Karen M. Smith                     | EEO  | 2177  | 2-12  | 942-0055<br>942-9546* |
| OAPM Liaison.....                                   | Nancy Wolynetz                     | OAPM | 2029  | 2-2A  | 942-4091<br>942-4075* |
| <b>DISCLOSURE OBLIGATIONS (1933-1934 Acts).....</b> |                                    |      |       |       |                       |
|   | Chief Counsel                      | CF   | 3018  | 3-3   | 942-2900              |
| <b>DISCOUNT BROKERS.....</b>                        |                                    |      |       |       |                       |
|   | Robert L.D. Colby                  | MR   | 5006  | 5-1   | 942-0094              |
| <b>DOCKET</b>                                       |                                    |      |       |       |                       |
| Preparation & Submission.....                       | Shirley Wallace                    | OS   | 6183  | 6-9   | 942-7070              |
| Copies (SEC Staff Only).....                        | Publications                       | OAPM | 3C38  | C-11  | 942-4040              |
| Microfiche (Public).....                            | U.S. Government<br>Printing Office | GPO  |       | [202] | 275-1051              |
| <b>DOCUMENTARY MATERIALS AVAILABLE<br/>IN SEC</b>   |                                    |      |       |       |                       |
| Copies of.....                                      | Publications                       | OAPM | 3C38  | C-11  | 942-4040              |
| <b>DRUGS industry group.....</b>                    |                                    |      |       |       |                       |
|   | James M. Daly                      | CF   | 3134  | 3-10  | 942-1800              |
| <b>ECONOMIC IMPACT STUDIES</b>                      |                                    |      |       |       |                       |
| B/D Financial Responsibility.....                   | William J. Atkinson                | OEA  | 9181  | 9-1   | 942-8020              |
| National Market System.....                         | Terry Chuppe                       | OEA  | 9002  | 9-1   | 942-8020              |
| <b>EDGAR HOTLINE.....</b>                           |                                    |      |       |       |                       |
|   |                                    | OIT  | 2204  | 2-10  | 942-4357              |
| <b>EDGAR System</b>                                 |                                    |      |       |       |                       |
| Filer Support.....                                  | EDGAR Operations                   | OFIS | 2340  | 0-7   | 942-8990              |
| <b>Phase-In</b>                                     |                                    |      |       |       |                       |
| Corporation Finance.....                            | Sylvia Reis                        | CF   | 3107  | 3-8   | 942-2940              |
| Investment Management.....                          | Anthony Vertuno                    | IM   | 9154  | 10-6  | 942-0591              |
| <b>Rules</b>  |                                    |      |       |       |                       |
| Corporation Finance.....                            | Barbara Jacobs                     | CF   |       | 3-12  | 942-2910              |
|   | Jim Budge                          | CF   |       | 3-12  | 942-2910              |
| Investment Management.....                          | Ruth Sanders                       | IM   | 10150 | 10-6  | 942-0633              |
|   | Anthony Vertuno                    | IM   | 9154  | 10-6  | 942-0591              |
| <b>SEC EDGAR News subscription.....</b>             |                                    |      |       |       |                       |
|   | Filer Technical Support            | OIT  | 1209  | 0-16  | 942-8601              |
| <b>EEO DIRECTOR .....</b>                           |                                    |      |       |       |                       |
|   | Faith D. Ruderfer                  | EEO  | 2180  | 2-12  | 942-0040              |
|   | TTY.....                           |      |       |       | 942-9546*             |
|   | FAX.....                           |      |       |       | 942-9547              |
| <b>EEO COUNSELORS:</b>                              |                                    |      |       |       |                       |
| <b>HEADQUARTERS</b>                                 |                                    |      |       |       |                       |
|   | David Burton                       | CF   | 3032  | 3-10  | 942-1808              |
|   | James Chan                         | MR   | 5126  | 5-1   | 942-0743              |
|   | Gopal Dharma                       | CF   | 7008  | 7-2   | 942-1973              |
|   | Sheena Fell                        | OFIS | 2340  | 0-7   | 942-8920              |
|   | Grace Harris-Carter                | IM   | 10112 | 10-6  | 942-0610              |
|   | Yvonne Hunold                      | IM   | 10178 | 10-6  | 942-0675              |
|   | Bonita Jackson                     | OIT  | 1212  | 0-2   | 000-3131              |
|   | Ronald Long                        | ENF  | 5117  | 5-4   | 942-4695              |
|   | Elizabeth Meyer                    | ENF  | 4097  | 4-4   | 942-4714              |
|   | Jeanne Sizoo-Bennette              | CF   | 7154  | 7-5   | 942-1915              |
|   | Mary Smittick                      | CA   | 9069  | 9-5   | 942-4403              |
|   | Christopher Sprague                | IM   | 10151 | 10-4  | 942-0681              |
|   | Laurie Stewart                     | ENF  | 4107  | 4-4   | 942-4807              |
|   | Lillie Suggs                       | OFIS | 2147  | 2-8   | 000-4475#             |

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Dial 942-8970, plus 4 Digit Extension

Long Distance: HQ to Regions: Dial 9 - 1 - Area Code - 7 Digit Number

Long Distance: Regions to HQ: Dial 8 - Area Code - 7 Digit Number

**EEO COUNSELORS:  
REGIONAL AND DISTRICT OFFICES**

|                     |                     |                   |
|---------------------|---------------------|-------------------|
| Ron S. Geffner      | NERO (New York)     | 212-748-8376      |
| Susan Davis         | NERO (Boston)       | 617-424-5900x626  |
| Ruth Ann Heselbarth | NERO (Boston)       | 617-424-5900x630  |
| Frank Hooper        | NERO (Boston)       | 617-424-5900x632  |
| Laetitia A. Hoban   | NERO (Philadelphia) | 215-597-0686      |
| Dennis Haynes       | NERO (Philadelphia) | 215-597-0793      |
|                     |                     |                   |
| Janelle Belcher     | CRO (Denver)        | 303-391-6882      |
| Andra Ozols         | CRO (Denver)        | 303-391-6838      |
| Weldon Schwartz     | CRO (Denver)        | 303-391-6879      |
| Ronda J. Blair      | CRO (Fort Worth)    | 817-885-6443      |
| Floyd Hastings      | CRO (Salt Lake)     | 801-524-5796      |
|                     |                     |                   |
| Lisa Trueba Roberts | SERO (Miami)        | 305-536-5765x6794 |
| Trisha Sindler      | SERO (Miami)        | 305-536-4857      |
| Augusto Macedo      | SERO (Atlanta)      | 404-842-7669      |
| Neal Seiden         | SERO (Atlanta)      | 404-842-7607      |
| Augusto Macedo      | SERO (Atlanta)      | 404-842-7669      |
|                     |                     |                   |
| Gary Hopkins        | MRO                 | 312-353-0525      |
| Nancy Smith         | MRO                 | 312-353-7454      |
|                     |                     |                   |
| Pamela Chato        | PRO (Los Angeles)   | 213-965-3808      |
| Lorraine Pearson    | PRO (Los Angeles)   | 213-965-3974      |
| Richard Ponce       | PRO (Los Angeles)   | 213-965-3955      |
| Koji Felton         | PRO (San Francisco) | 415-705-2454      |
| Barbara Barnhart    | PRO (Seattle)       | 206-220-7532      |

**ELECTRICAL & ELECTRONIC industry.....** James M. Daly CF 3134 3-10 942-1800

**EMERGENCY.....** 911

**CPR (cardiopulmonary Resuscitation)**  
 Judiciary Plaza Nurse HHS 7040 7-4 942-4120  
 Operations Center/Annex Nurse 942-4973\*  
 504-2351\*

**EMPLOYEE LOCATOR** OAPM 2029 2-3 942-4150

**EMPLOYEES ASSISTANCE PROGRAM**

|                   |                |
|-------------------|----------------|
| Headquarters..... | 703-534-1207   |
| ADO.....          | 404-347-3609   |
| SERO.....         | 305-536-5553   |
| BDO.....          | 617-565-6533   |
| MRO.....          | 312-886-4215   |
| FWDO.....         | 1-800-222-0364 |
| PDO.....          | 301-762-4260   |
|                   | 1-800-468-8369 |
| CRO.....          | 1-800-327-8780 |
| SLDO.....         | 1-800-327-8780 |
| PRO.....          | 1-800-523-5668 |
| SFDO.....         | 1-800-523-5668 |
| NERO.....         | 1-212-264-4673 |
| SDO.....          | 1-800-523-5668 |

**EMPLOYEE BENEFIT PENSION FUNDS**

|                        |                                      |
|------------------------|--------------------------------------|
| No Action Letters..... | Chief Counsel IM 10100 10-6 942-0659 |
|                        | Chief Counsel CF 3018 3-3 942-2900   |

**EMPLOYEE NEWS.....** Mary Teel OPAPER 7103 1-1 942-0020  
 Distribution (SEC Staff Only)..... Publications OAPM 3C38 C-4 942-4040

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**EMPLOYEE PARKING INFORMATION**

|                                      |                   |      |      |      |          |
|--------------------------------------|-------------------|------|------|------|----------|
| Judiciary Plaza (SEC - Carpool)..... | Facilities Branch | OAPM | 2C00 | C-8  | 942-4010 |
| (Ridesharing/Locating Carpools)..    | Paula Frohman     | OAPM | 2039 | 2-2  | 942-4057 |
| Operations Center.....               | Joe Williams      | OAPM | 1414 | 0-12 | 942-4975 |

**EMPLOYMENT DISCRIMINATION COMPLAINTS**

(See Equal Employment Opportunity (EEO) Counselors)

|   |  |     |  |  |           |
|---|--|-----|--|--|-----------|
| TDD(TTY) Users dial.....                                      |  | EEO |  |  | 942-9546* |
| (or) Use Telephone Relay Service<br>to Contact EEO Counselors |  |     |  |  |           |

|                                     |           |      |      |     |          |
|-------------------------------------|-----------|------|------|-----|----------|
| <b>EMPLOYMENT INFORMATION</b> ..... | Personnel | OAPM | 2029 | 2-3 | 942-4054 |
|-------------------------------------|-----------|------|------|-----|----------|

|                                   |                       |    |      |     |          |
|-----------------------------------|-----------------------|----|------|-----|----------|
| <b>ENERGY</b> industry group..... | H. Christopher Owings | CF | 7081 | 7-5 | 942-1900 |
|-----------------------------------|-----------------------|----|------|-----|----------|

**ENFORCEMENT**

|                    |            |        |      |     |          |
|--------------------|------------|--------|------|-----|----------|
| Press Liaison..... | John Heine | OPAPER | 7103 | 7-1 | 942-0022 |
|--------------------|------------|--------|------|-----|----------|

**ENFORCEMENT ASSIGNMENTS**

Cases Involving:

|                   |             |     |      |     |          |
|-------------------|-------------|-----|------|-----|----------|
| Headquarters..... | Herb Martin | ENF | 4010 | 4-1 | 942-4702 |
|-------------------|-------------|-----|------|-----|----------|

|                                |               |     |      |      |          |
|--------------------------------|---------------|-----|------|------|----------|
| Northeast Regional Office..... | Jill Peterson | ENF | 4204 | 4-8B | 942-4750 |
|--------------------------------|---------------|-----|------|------|----------|

|                             |              |     |      |      |          |
|-----------------------------|--------------|-----|------|------|----------|
| Boston District Office..... | Louise Corso | ENF | 4189 | 4-8B | 942-4585 |
|-----------------------------|--------------|-----|------|------|----------|

|                                   |              |     |      |      |          |
|-----------------------------------|--------------|-----|------|------|----------|
| Philadelphia District Office..... | Louise Corso | ENF | 4189 | 4-8B | 942-4585 |
|-----------------------------------|--------------|-----|------|------|----------|

|                                |              |     |      |      |          |
|--------------------------------|--------------|-----|------|------|----------|
| Southeast Regional Office..... | Earle Wilson | ENF | 4184 | 4-8B | 942-4842 |
|--------------------------------|--------------|-----|------|------|----------|

|                              |              |     |      |      |          |
|------------------------------|--------------|-----|------|------|----------|
| Atlanta District Office..... | Earle Wilson | ENF | 4184 | 4-8B | 942-4842 |
|------------------------------|--------------|-----|------|------|----------|

|                              |                 |     |      |      |          |
|------------------------------|-----------------|-----|------|------|----------|
| Midwest Regional Office..... | Evan Goldzahler | ENF | 4202 | 4-8B | 942-4613 |
|------------------------------|-----------------|-----|------|------|----------|

|                              |                |     |      |      |          |
|------------------------------|----------------|-----|------|------|----------|
| Central Regional Office..... | Jeffrey Hiller | ENF | 4184 | 4-8B | 942-4647 |
|------------------------------|----------------|-----|------|------|----------|

|                                 |                |     |      |      |          |
|---------------------------------|----------------|-----|------|------|----------|
| Fort Worth District Office..... | Jeffrey Hiller | ENF | 4184 | 4-8B | 942-4647 |
|---------------------------------|----------------|-----|------|------|----------|

|                                |                |     |      |      |          |
|--------------------------------|----------------|-----|------|------|----------|
| Salt Lake District Office..... | Jeffrey Hiller | ENF | 4184 | 4-8B | 942-4647 |
|--------------------------------|----------------|-----|------|------|----------|

|                              |            |     |      |      |          |
|------------------------------|------------|-----|------|------|----------|
| Pacific Regional Office..... | Grant Ward | ENF | 4204 | 4-8B | 942-4829 |
|------------------------------|------------|-----|------|------|----------|

|                                    |            |     |      |      |          |
|------------------------------------|------------|-----|------|------|----------|
| San Francisco District Office..... | Grant Ward | ENF | 4204 | 4-8B | 942-4829 |
|------------------------------------|------------|-----|------|------|----------|

|                              |            |     |      |      |          |
|------------------------------|------------|-----|------|------|----------|
| Seattle District Office..... | Grant Ward | ENF | 4178 | 4-8B | 942-4829 |
|------------------------------|------------|-----|------|------|----------|

|                          |                 |    |      |     |          |
|--------------------------|-----------------|----|------|-----|----------|
| <b>ENGINEERING</b> ..... | Austin L. Byers | CF | 3097 | 3-7 | 942-2970 |
|--------------------------|-----------------|----|------|-----|----------|

|                                   |              |    |      |     |          |
|-----------------------------------|--------------|----|------|-----|----------|
| <b>EQUAL CREDIT</b> (Reg. B)..... | Roger Coffin | MR | 5060 | 5-1 | 942-0136 |
|-----------------------------------|--------------|----|------|-----|----------|

|                       |                      |    |      |     |          |
|-----------------------|----------------------|----|------|-----|----------|
| Consumer Affairs..... | Consumer Specialists | OS | 2130 | 2-6 | 942-7040 |
|-----------------------|----------------------|----|------|-----|----------|

**EQUAL EMPLOYMENT OPPORTUNITY &****AFFIRMATIVE EMPLOYMENT PROGRAM**

|                          |                |     |      |      |          |
|--------------------------|----------------|-----|------|------|----------|
| <b>INFORMATION</b> ..... | Darren Goebels | EEO | 2177 | 2-12 | 942-0056 |
|--------------------------|----------------|-----|------|------|----------|

|  |             |     |      |      |          |
|--|-------------|-----|------|------|----------|
|  | Karen Smith | EEO | 2177 | 2-12 | 942-0055 |
|--|-------------|-----|------|------|----------|

|                            |  |  |  |  |           |
|----------------------------|--|--|--|--|-----------|
| See Separate Listings for: |  |  |  |  | 942-9546* |
|----------------------------|--|--|--|--|-----------|

Asian/Pacific American Program

Black Employment Program

Disability Issues Advisory Committee

Federal Women's Program

Hispanic Employment Program

**EQUIPMENT AND FURNITURE**

|                   |               |      |      |     |          |
|-------------------|---------------|------|------|-----|----------|
| Acquisitions..... | Harry Fleming | OAPM | 2C00 | C-8 | 942-4010 |
|-------------------|---------------|------|------|-----|----------|

|                            |                    |      |      |      |          |
|----------------------------|--------------------|------|------|------|----------|
| Assistance (Catalogs)..... | Procurement Branch | OAPM | 2465 | 0-20 | 942-4994 |
|----------------------------|--------------------|------|------|------|----------|

|                                      |            |      |      |     |          |
|--------------------------------------|------------|------|------|-----|----------|
| Repair (excluding copy equipment)... | Facilities | OAPM | 2C00 | C-8 | 942-4010 |
|--------------------------------------|------------|------|------|-----|----------|

|                              |               |      |      |     |          |
|------------------------------|---------------|------|------|-----|----------|
| Repair (copy equipment)..... | Samuel Watson | OAPM | 2C40 | C-9 | 942-4033 |
|------------------------------|---------------|------|------|-----|----------|

|                             |  |     |      |      |          |
|-----------------------------|--|-----|------|------|----------|
| Repair (fax equipment)..... |  | OIT | 2204 | 2-10 | 942-4357 |
|-----------------------------|--|-----|------|------|----------|

\*TDD(TTY) Voice Available

#Operations Center ANNEX: Dial 942-8970, plus 4 Digit Extension

Long Distance: HQ to Regions: Dial 9 - 1 - Area Code - 7 Digit Number

Long Distance: Regions to HQ: Dial 8 - Area Code - 7 Digit Number

**ETHICS LIAISON OFFICERS AND DEPUTIES..**

(L) - LIAISON OFFICERS  
(D) - DEPUTIES

|                                       |      |       |      |          |
|---------------------------------------|------|-------|------|----------|
| L- Elisse B. Walter                   | CF   | 3009  | 3-1  | 942-2810 |
| D- William Morley                     | CF   | 3018  | 3-1  | 942-2820 |
| D- H. Christopher Owings              | CF   | 7081  | 7-5  | 942-1900 |
| L- Joan McKown                        | ENF  | 4015  | 4-1  | 942-4530 |
| D- Earle Wilson                       | ENF  | 4189  | 4-88 | 942-4842 |
| D- Shelley Grant                      | ENF  | 5097  | 5-3  | 942-0564 |
| L- Kenneth Berman                     | IM   | 10056 | 10-6 | 942-0721 |
| D- Barry Miller                       | IM   | 10177 | 10-6 | 942-0660 |
| L- Catherine McGuire                  | MR   | 7115  | 7-10 | 942-0061 |
| D- Robert Love                        | MR   | 7121  | 5-1  | 942-0073 |
| D- M. Blair Corkran                   | MR   | 5033  | 5-1  | 942-0775 |
| L- Brenda P. Murray                   | ALJ  | 7198  | 7-7  | 942-0390 |
| D- Edward J. Kuhlman                  | ALJ  | 7191  | 7-7  | 942-0399 |
| D- Glenn R. Lawrence                  | ALJ  | 7198  | 7-7  | 942-0399 |
| L- Patricia A. Ragland                | QAPM | 2055  | 2-3  | 942-4060 |
| D- Ellen Bliss                        | QAPM | 2155  | 2-2A | 942-4092 |
| <u>Chairman's Office</u>              |      |       |      |          |
| L- Carrie Dwyer                       | ES   | 6010  | 6-1  | 942-0120 |
| D- Barbara Hannigan                   | ES   | 6010  | 6-1  | 942-0120 |
| <u>Commissioner Schapiro's Office</u> |      |       |      |          |
| L- John Ramsey                        | ES   | 6087  | 6-7  | 942-0706 |
| <u>Commissioner Robert's Office</u>   |      |       |      |          |
| AL- Brian Lane                        | ES   | 6103  | 6-8  | 942-0607 |
| <u>Commissioner Beese's Office</u>    |      |       |      |          |
| L- Bruce Rosenblum                    | ES   | 6191  | 6-10 | 942-0507 |
| <u>Commissioner Wallman's Office</u>  |      |       |      |          |
| L-                                    | ES   | 6050  | 6-5  | 942-0800 |
| L- Bob Burns                          | CA   | 9068  | 9-5  | 942-4400 |
| D- John Albert                        | CA   | 9060  | 9-5  | 942-4400 |
| L- Bonnie Beard                       | OC   | 2088  | 2-5  | 942-0389 |
| D- Kathleen Watford                   | OC   | 2085  | 2-5  | 942-0353 |
| L- Bill Atkinson                      | OEA  | 9199  | 9-1  | 942-8020 |
| D- Jeffry Davis                       | OEA  | 9197  | 9-1  | 942-8020 |
| L- Greg Jones                         | OIT  | 2208  | 0-4  | 942-8834 |
| D- John Morris                        | OIT  | 2106  | 0-4  | 942-8843 |
| L- Jessica L. Kole                    | OED  | 9105  | 9-8  | 942-4304 |
| D- Hannah Hall                        | OED  | 2117  | 2-11 | 942-4324 |
| L- Suzanne McHugh                     | OFIS | 900   | A-1  | 000-4324 |
| D- Richard Entenmann                  | OFIS | 1509  | 0-18 | 000-4201 |
| DAEO- Simone Lorne                    | GC   | 6063  | 6-6  | 942-0900 |
| Alternate DAEO- Paul Gonson           | GC   | 6069  | 6-6  | 942-0970 |
| L- Lyn Blatch                         | GC   | 8109  | 6-6  | 942-0970 |
| D- Virginia Canter                    | GC   | 8101  | 6-6  | 942-0970 |
| D- Kimberly Warren                    | GC   | 8102  | 6-6  | 942-0970 |
| D- Audrey Bredhoff                    | GC   | 8106  | 6-6  | 942-0970 |
| D- William Lenox                      | GC   | 8104  | 6-6  | 942-0970 |

\*TDD(TTY) Voice Available

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 Long Distance: HQ to Regions: Dial 9 - 1 - Area Code - 7 Digit Number  
 Long Distance: Regions to HQ: Dial 8 - Area Code - 7 Digit Number

|                          |        |       |      |          |
|--------------------------|--------|-------|------|----------|
| L- Jon D. Jensvold       | DIG    | 7001  | 7-9  | 942-4463 |
| D- Walter J. Stachnik    | DIG    | 7000  | 7-9  | 942-4460 |
| L- Paul A. Leder         | OIA    | 10009 | 10-1 | 942-2770 |
| D- Robert Strahota       | OIA    | 10002 | 10-1 | 942-2770 |
| L- Peter Kiernan         | OLA    | 6017  | 6-2  | 942-0015 |
| D- Kathryn Fulton        | OLA    | 6017  | 6-2  | 942-0014 |
| L-                       | OPAPER | 7103  | 7-1  | 942-0020 |
| D- John Heine            | OPAPER | 7103  | 7-1  | 942-0022 |
| L- Jonathan G. Katz      | OS     | 6184  | 6-9  | 942-7070 |
| D- Margaret H. McFarland | OS     | 6188  | 6-9  | 942-7070 |
| L- Leah Meltzer          | EEO    | 2181  | 11-4 | 942-0059 |
| D- Karen Smith           | EEO    | 2177  | 11-4 | 942-0050 |

**ETHICS LIAISON OFFICERS:**  
**REGIONAL AND DISTRICT OFFICES**

|                           |                        |      |      |                   |
|---------------------------|------------------------|------|------|-------------------|
| REGION 1                  | L- Daniel R. Schnipper | NERO |      | 212-748-8194      |
|                           | D- Ronald S. Scaglione | NERO |      | 212-748-8087      |
|                           | D- Joseph S. Hirsch    | NERO |      | 212-748-8313      |
|                           | L- Peter W. Gillies    | BDO  |      | 617-424-5900x634  |
|                           | D- Joan Stempel        | BDO  |      | 617-424-5900x667  |
|                           | L- Michael Newman      | PDO  |      | 215-597-2939      |
|                           | D- Robert Intartaglio  | PDO  |      | 215-597-3382      |
| REGION 2                  | L- Carl Schoepl        | SERO |      | 305-536-5765x7458 |
|                           | D- Kenneth Daras       | SERO |      | 305-536-5765x7452 |
|                           | L- E. Gordon Robinson  | ADO  |      | 404-842-7625      |
|                           | D- John Birkenheier    | ADO  |      | 404-842-7620      |
| REGION 3                  | L- Angela D. Dodd      | MRO  |      | 312-886-8512      |
|                           | D- Laura C. Ramsey     | MRO  |      | 312-353-7429      |
|                           | AD- Dan Gregus         | MRO  |      | 312-886-3958      |
| REGION 4                  | L- Thomas D. Carter    | CRO  |      | 303-391-6890      |
|                           | D- Robert M. Fufeld    | CRO  |      | 303-391-6880      |
|                           | L- Thomas J. Baudhuin  | FWDD |      | 817-885-6466      |
|                           | D- Charles L. Amster   | FWDD |      | 817-885-6463      |
|                           | L- Ken Israel          | SLDO |      | 801-524-6749      |
|                           | D- Tom Melton          | SLDO |      | 801-524-6748      |
| REGION 5                  | L- Sarah D. Moyed      | PRO  |      | 213-965-3866      |
|                           | D- Kelly Bowers        | PRO  |      | 213-965-3924      |
|                           | L- Allen F. Corotto    | SFDD |      | 415-705-2470      |
|                           | D- Sheila O'Callaghan  | SFDD |      | 415-705-2459      |
| EXCHANGE INSPECTIONS..... | Alton S. Harvey        | MR   | 5160 | 5-1 942-4168      |
|                           | Susan Lee              | MR   | 5144 | 5-1 942-0762      |
| EXCHANGE REGULATION.....  | Sandra Sciole          | MR   | 5203 | 5-1 942-0183      |

\*TDD(TTY) Voice Available  
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Long Distance: HQ to Regions: Dial 9 - 1 - Area Code - 7 Digit Number  
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|   |                        |      |       |      |          |
|---|------------------------|------|-------|------|----------|
| <b>EXCHANGE RULES AND REGULATIONS.....</b>    |                        | MR   | 5185  | 5-1  | 942-0186 |
|   | Sandra Sciole          | MR   | 5203  | 5-1  | 942-0183 |
|   | Joseph Franco          | GC   | 6173  | 6-6  | 942-0880 |
| <b>EXEMPTIONS - 1933 &amp; 1934 Acts.....</b> | Chief Counsel          | CF   | 3026  | 3-3  | 942-2900 |
| <b>EXTENSION FOR FILING.....</b>              | Document Control       | OFIS | 1004  | 1-4  | 942-8050 |
| <b>EXPRESS MAIL</b>                           |                        |      |       |      |          |
| Approval for.....                             |                        | OAPM | 2C47  | C-13 | 942-4045 |
| <b>FAX</b>                                    |                        |      |       |      |          |
| Judiciary Plaza.....                          | Mail Room              | OAPM | 2C53  |      | 942-4045 |
| Telecopier Operator                           |                        |      |       |      | 942-4050 |
| Operations Center.....                        | Mail Room              |      | 1418  |      | 504-2488 |
| Annex.....                                    |                        | OFIS | 900   |      | 504-2691 |
| Telecopier Operator                           |                        |      |       |      | 942-4977 |
| Administrative Law Judges.....                |                        |      | 7200  |      | 272-7774 |
| Administrative and Personnel Management       |                        |      |       |      |          |
| Judiciary Plaza Building                      |                        |      | 2029  |      | 272-3732 |
| Operations Center                             |                        |      |       |      | 504-2477 |
| Chief Accountant.....                         |                        |      | 9069  |      | 504-2724 |
| Chief Economist.....                          |                        |      | 9004  |      | 272-7132 |
| Comptroller.....                              |                        |      | 2080  |      | 272-3556 |
| Corporation Finance.....                      |                        |      |       |      | 272-2677 |
| Enforcement Division.....                     | (4th Floor)            |      |       |      | 272-3636 |
|   | (5th Floor)            |      |       |      | 272-7936 |
| Executive Director.....                       |                        |      | 11012 |      | 504-2365 |
| Filings and Information Services              |                        |      |       |      |          |
| Operations Center.....                        | Filer Support          |      |       |      | 504-2474 |
| Annex.....                                    |                        |      |       |      | 504-2691 |
| General Counsel.....                          |                        |      | 6077  |      | 272-2479 |
| -also for Commissioners                       |                        |      |       |      |          |
| International Affairs.....                    |                        |      | 10000 |      | 504-2282 |
| Investment Management only.....               |                        |      | 10203 |      | 504-2395 |
| Market Regulation Division.....               |                        |      | 5039  |      | 272-2730 |
| Office of Information Technology:             |                        |      |       |      |          |
| Office of Edgar Management.....               |                        | OPC  |       |      | 504-2477 |
| Office of ADP Services.....                   |                        | OPC  |       |      | 504-2475 |
| Public Affairs.....                           |                        |      | 7103  |      | 272-3112 |
| Secretary Office.....                         |                        |      | 6183  |      | 504-2843 |
| <b>FEDERAL ADVISORY COMMITTEE ACT.....</b>    | Daniel Hirsch          | GC   | 6144  |      | 942-0870 |
| <b>FEDERAL REGISTER.....</b>                  | Frances R. Sienkiewicz | OS   | 6176  | 6-9  | 942-7072 |

\*TDD(TTY) Voice Available

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Long Distance: HQ to Regions: Dial 9 - 1 - Area Code - 7 Digit Number  
Long Distance: Regions to HQ: Dial 8 - Area Code - 7 Digit Number

**FEDERAL WOMEN'S PROGRAM INFORMATION**

|  |                          |      |      |      |              |
|--|--------------------------|------|------|------|--------------|
| Headquarters.....  | Elizabeth Dryer          | OAPM | 2029 | 2-3  | 942-4069     |
|  | Beata Blansfield         | ES   | 6010 | 6-1  | 942-0103     |
|  | Sonja Addison            | EEO  | 2178 | 2-12 | 942-0055     |
|  | Karen M. Smith           | EEO  | 2177 | 2-12 | 942-0055     |
|  |                          | EEO  |      |      | 942-9546*    |
| Regions.....   | Avory Weintrob           | NERO |      |      | 212-748-8218 |
|  | Elizabeth Salini         | BDO  |      |      | 617-223-9915 |
|  | Tracy Birch/Susan Mattio | PDO  |      |      | 215-597-3100 |
|  | Sonia Chae               | MRO  |      |      | 312-886-8515 |
|  | Diane Simmons            | CRO  |      |      | 303-391-6889 |
|  | Kimberly Garber          | FWDO |      |      | 817-885-6435 |
|  | Julie Sperling           | SLDO |      |      | 801-588-6747 |
|  | Helen Moore              | PRO  |      |      | 213-965-3952 |
|  | Cheryl Lawson            | SFDO |      |      | 415-705-2500 |
|  | Sandy Latimer            | SDD  |      |      | 206-220-7526 |
|  | Susan Sherrill           | ADO  |      |      | 404-842-7626 |
| FEES ON FILINGS (Staff only).....                            | Document Control         | OFIS | 1005 | 1-4  | 942-8050     |
| Public.....  | Public Reference         | OFIS | 1024 | 1-2  | 942-8090     |
| FILES REQUESTS - Public.....                                 | Public Reference         | OFIS | 1024 | 1-2  | 942-8090     |
| - Staff.....   | Records Management       | OFIS | 300  | A-1  | 000-4650#    |
| FILES REQUESTS   |                          |      |      |      |              |
| Administrative Proceedings (3-).....                         |                          | OS   |      |      | 942-7040     |
| Broker-Dealer (8-) including<br>X-17A-5, X-17A-19).....      | Records Management       | OFIS | 300  | A-1  | 000-4650#    |
| Complaint Files (HO-, NY-, etc.)<br>(Files for closing)..... | Records Management       | OFIS | 300  | A-1  | 000-4650#    |
| Forms 144 (9-).....  | Records Management       | OFIS | 300  | A-1  | 000-4650#    |
| Inactive Files (FRC).....                                    | Records Management       | OFIS | 300  | A-1  | 000-4650#    |
| Investigations.....  | Records Management       | OFIS | 300  | A-1  | 000-4650#    |
| Investment Advisers (801-).....                              | Records Management       | OFIS | 300  | A-1  | 000-4650#    |
| 13 & 14 D's (request by Target).....                         | Records Management       | OFIS | 300  | A-1  | 000-4650#    |
| Litigation (Lit-).....                                       | Records Management       | OFIS | 300  | A-1  | 000-4650#    |
| Microfiche.....  | Records Management       | OFIS | 300  | A-1  | 000-4650#    |
| Municipal Securities Dealers<br>(86-).....                   | Records Management       | OFIS | 300  | A-1  | 000-4650#    |
| Ownership (3s & 4s by co.).....                              | Records Management       | OFIS | 300  | A-1  | 000-4650#    |
| Paperwork Reduction Act [270-].....                          | Records Management       | OFIS | 300  | A-1  | 000-4650#    |
| Securities Information Processors<br>(84-).....              | Records Management       | OFIS | 300  | A-1  | 000-4650#    |
| SF- (Rule Proposals).....                                    | Records Management       | OFIS | 300  | A-1  | 000-4650#    |
| Securities Violations.....                                   | Records Management       | OFIS | 300  | A-1  | 000-4650#    |
| Transfer Agents (84-, 85-).....                              | Records Management       | OFIS | 300  | A-1  | 000-4650#    |

\*TDD(TTY) Voice Available

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 Long Distance: HQ to Regions: Dial 9 - 1 - Area Code - 7 Digit Number  
 Long Distance: Regions to HQ: Dial 8 - Area Code - 7 Digit Number

**FILING DESK**

Receipt of filings - Open to

General Public 8:00 a.m.-5:30 p.m. Document Control OFIS 1004 1-4 942-8050

**FILINGS**

EDP Input..... Branch Chief OFIS 1004 1-4 942-8050

Information re 1933 &amp; 1934 Acts..... See Assignments

Public requests for..... Public Reference OFIS 1024 1-2 942-8090

Received Over-the-Counter..... Regis Unit ('33 Act) OFIS 1004 1-4 942-8050

Receiving by Mail..... Jim Doughty OAPM 2C53 C-13 942-4045

Receiving by Personal Delivery  
[personally addressed]..... Henrietta Green OAPM 2C53 C-13 942-4045

FINANCIAL industry group..... John C. Roycroft CF 7027 7-2 942-1960

**FINANCIAL ACCOUNTING STANDARDS**

BOARD ACTIVITIES..... Richard Reinhard CA 4200 4-8 942-4400

**FINANCIAL DISCIPLINARY ACTIONS**

(Rule 19d-1)..... Richard Pullano MR 5126 5-1 942-0752

FINGERPRINTING (Rule 17f-2)..... Ester Saverson MR 5179 5-1 942-0165

FINS Numbers..... Jack Drogin MR 5164 5-1 942-0164

FIRE..... 911

FISCAL OPERATIONS..... Darrell L. Dockery DC 2094 2-5 942-0349

**FITNESS CENTER**Director..... JoAnne Boyle OAPM 2C29 C-8 942-4007  
(Facility - 7 a.m. - 8 p.m.)..... 1C Level 942-4141

FOIA (See Freedom of Information)..... ED 2115 2-11 942-4320

FOCUS REPORTING SYSTEM (Rule 17a-5)... Roger Coffin MR 5060 5-1 942-0136

FOOD industry group..... James M. Daly CF 3134 3-10 942-1800

FOREIGN CORRUPT PRACTICES ACT..... Gretta Powers ENF 4119 4-9 942-4756

FOREIGN GOVERNMENTS..... Steven Duvall CF 3072 3-6 942-1950

FOREIGN VISITORS..... Carol Patterson OPA 1012 1-1 942-0028

**FORMS-See following individual forms**

ADP Coordination..... OLT 1118 0-1 942-8999

Approval and Design..... OAPM 2C40 C-9 942-4030

Blank forms - Staff Only..... Publications OAPM 3c38 C-11 942-4040

- Public..... 942-4046

Copies of COMPLETED forms..... Public Reference OFIS 1024 1-2 942-8090

**Interpretations -**

1933 &amp; 1934 Acts..... Chief Counsel CF 3026 3-3 942-2900

1933 &amp; 1934 Acts..... Chief Counsel MR 7120 7-10 942-0073

1935 Act..... William Weeden IM 10236 10-6 942-0545

1940 Acts..... Chief Counsel IM 10100 10-6 942-0659

\*TDD(TTY) Voice Available

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Long Distance: HQ to Regions: Dial 9 - 1 - Area Code - 7 Digit Number

Long Distance: Regions to HQ: Dial 8 - Area Code - 7 Digit Number

|   |                                   |          |              |            |                      |
|---|-----------------------------------|----------|--------------|------------|----------------------|
| OMB Control Number.....   | Peggy Stanton                     | OIT      | 2212         | 0-4        | 942-8849             |
| SEC Number.....   | Samuel Watson                     | OAPM     | 2040         | C-9        | 942-4033             |
| Supply of forms .....   | Publications                      | OAPM     | 3038         | C-4        | 942-4040             |
| 1, Application for registration or exemption from registration as a national securities exchange.....   | Howard Kramer                     | MR       | 5003         | 5-1        | 942-0180             |
| 3, Initial statement of beneficial ownership.....   | Quality Control                   | OFIS     | 900          | A-1        | 000-4475#            |
| 4, Statement of changes in beneficial ownership.....  | Quality Control                   | OFIS     | 900          | A-1        | 000-4475#            |
| 5, Annual report of transactions.....   | Chief Counsel                     | CF       | 3026         | 3-3        | 942-2900             |
| 8, Amendments to Forms 8-A, 8-K, 10, 10-K, 18, 19, 20-F.....  | Chief Counsel                     | CF       | 3026         | 3-3        | 942-2900             |
| 10, Registration of securities pursuant to § 12(b) or 12(g).....  | Chief Counsel                     | CF       | 3026         | 3-3        | 942-2900             |
| 12b-25, Notification of inability to timely file Form 10-K, 11-K, 20-F or 10-Q.....   | Branch Chief                      | OFIS     | 1004         | 1-4        | 942-8050             |
| 15, Certificate to terminate registration of a class of security under §12(g) or Notice of suspension of duty to file report pursuant to §§ 13 and 15(d)..... | Chief Counsel                     | CF       | 3026         | 3-3        | 942-2900             |
| 18, Application for registration of securities of foreign governments & political subdivisions.....   | Paul Dudek                        | CF       | 3116         | 3-9        | 942-2990             |
| 19, Application for registration of American certificates against foreign issues and for the underlying securities.....                                       | Paul Dudek                        | CF       | 3116         | 3-9        | 942-2990             |
| 19b-4, Proposed rule changes by self-regulatory organizations.....  | Sharon Lawson<br>Jonathan Kallman | MR<br>MR | 5201<br>5002 | 5-1<br>5-1 | 942-0182<br>942-0130 |
| 25, Notification of the removal from listing and registration of matured, redeemed or retired securities.....   | Howard Kramer                     | MR       | 5003         | 5-1        | 942-0180             |
| 26, Notification of admission to trading of substituted or additional class of security under Rule 12z-5.....   | Howard Kramer                     | MR       | 5003         | 5-1        | 942-0180             |
| 27, Notification of changes in securities admitted to unlisted trading privileges.....  | Sharon Lawson                     | MR       | 5201         | 5-1        | 942-0182             |
| 28, Notification of termination trading privileges.....   |                                   | MR       | 5185         | 5-1        | 942-0186             |
| 144, Notice of proposed sale of restricted securities and resale of securities by control person.....   | Quality Control                   | OFIS     | 900          | A-1        | 000-4475#            |

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 Long Distance: HQ to Regions: Dial 9 -- 1 - Area Code - 7 Digit Number  
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|  |                         |    |       |      |          |
|--|-------------------------|----|-------|------|----------|
| 1-A, Amendment to application for registration or exemption from registration as a national securities exchange.....                   | Branch Chief            | MR | 5185  | 5-1  | 272-2910 |
| 1-A, Offering statement under Regulation A.....  | Paul Dudek              | CF | 7204  | 7-8  | 942-2990 |
| 1-A, Report pursuant to Rule 26 of Regulation A.....   | Paul Dudek              | CF | 7204  | 7-8  | 942-2990 |
| 3-A, Irrevocable appointment by individual of agent for service of process, pleadings and other papers.....                            | Richard Wulff           | CF | 7204  | 7-8  | 942-2950 |
| 4-A, Irrevocable appointment by corporation of agent for service of process, pleadings and other papers.....                           | Richard Wulff           | CF | 7204  | 7-8  | 942-2950 |
| 5-A, Certificate of resolution authorizing appointment by corporation of agent for service of process, pleadings and other papers..... | Richard Wulff           | CF | 7204  | 7-8  | 942-2950 |
| 6-A, Irrevocable appointment by partnership of agent for service of process, pleadings and other papers.....                           | Richard Wulff           | CF | 7204  | 7-8  | 942-2950 |
| 7-A, Optional form of escrow for securities that are subject to provisions of Rule 243(c) of Regulation A.....                         | Richard Wulff           | CF | 7204  | 7-8  | 942-2950 |
| 8-A, For registration of certain classes of securities pursuant to Section 12(b) or 12(g).....   | Chief Counsel           | CF | 3026  | 3-3  | 942-2900 |
| 8-B, For registration of securities of certain successor issuers pursuant to § 12(b) of 12(g).....                                     | Chief Counsel           | CF | 3026  | 3-3  | 942-2900 |
| 10-C, For report by issuer of securities quoted on NASDAQ inter-dealer quotation system.....   | Chief Counsel           | CF | 3026  | 3-3  | 942-2900 |
| 1-E, Notification of exemption for securities issued by a Small Business Investment Company or business development company.....       | Chief Counsel           | IM | 10100 | 10-6 | 942-0659 |
| 2-E, Report of sales pursuant to Rule 609 of Regulation E.....   | Chief Counsel           | IM | 10100 | 10-6 | 942-0659 |
| 1-F, Notification of exemption for assessment on assessable stock.....   | Richard Wulff           | CF | 7204  | 7-9  | 942-2950 |
| 13d, Beneficial ownership.....   | Office of Tender Offers | CF | 3052  | 3-4  | 942-2920 |
| 13-F, Report of institutional investment managers.....   | Chief Counsel           | IM | 10100 | 10-6 | 942-0659 |

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|  |                         |      |      |     |          |
|--|-------------------------|------|------|-----|----------|
| 13g, Acquisition statement.....  | Office of Tender Offers | CF   | 3052 | 3-4 | 942-2920 |
| 14d-1, Tender offer statement.....   | Office of Tender Offers | CF   | 3052 | 3-4 | 942-2920 |
| 20-F, For registration of securities of foreign private issuers pursuant to § 12(b) or 12(g), & for annual reports of foreign private issuers filing pursuant to §§ 12 or 15(d)..... | Paul Dudek              | CF   | 3116 | 3-9 | 942-2990 |
| 1-G, Report of sales or oil or gas interests pursuant to Rules 300 through 346 (accorded confidential treatment).....  | Austin L. Byers         | CF   | 3094 | 3-7 | 942-2970 |
| 3-G, Report filed within three months after termination of oil or gas offering reporting results of the offering.....  | Austin L. Byers         | CF   | 3094 | 3-7 | 942-2970 |
| 6-K, Report of foreign issuers pursuant to Rules 13a-16 and 15d-16.....  | Paul Dudek              | CF   | 3116 | 3-9 | 942-2990 |
| 8-K, For current reports pursuant to §13 or §15(d).....  | Chief Counsel           | CF   | 3026 | 3-3 | 942-2870 |
| 10-K, Annual report pursuant to §13 or 15(d).....  | Chief Counsel           | CF   | 3026 | 3-3 | 942-2870 |
| 11-K, For annual reports of employee stock purchase, savings and similar plans pursuant to §15(d).....   | Chief Counsel           | CF   | 3026 | 3-3 | 942-2900 |
| 18-K, Annual reports for foreign governments and political subdivisions thereof.....   | Paul Dudek              | CF   | 3116 | 3-9 | 942-2990 |
| 7-M, Consent to service of process by an individual non-resident broker-dealer.....  | Registrations & Exams   | OFIS | 200  | A-2 | 942-8980 |
| 8-M, Consent to service of process by a corporation which is a non-resident broker-dealer.....   | Registrations & Exams   | OFIS | 200  | A-2 | 942-8980 |
| 9-M, Consent to service of process by a partnership non-resident broker-dealer.....  | Registrations & Exams   | OFIS | 200  | A-2 | 942-8980 |
| 10-M, Consent to service of process by a non-resident general partner of a broker-dealer firm....  | Registrations & Exams   | OFIS | 200  | A-2 | 942-8980 |
| 10-Q, For quarterly reports under § 13 or 15(d).....   | Chief Counsel           | CF   | 3026 | 3-3 | 942-2900 |
| 4-R, Irrevocable appointment of agent for service of process, pleadings, and other papers by individual non-resident investment adviser.....   | Registrations & Exams   | OFIS | 200  | A-2 | 942-8980 |

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|  |                       |      |       |      |          |
|--|-----------------------|------|-------|------|----------|
| 5-R, Irrevocable appointment of agent for service of process, pleadings, and other papers by corporation non-resident investment adviser.....          | Registrations & Exams | OFIS | 200   | A-2  | 942-8980 |
| 6-R, Irrevocable appointment of agent of service of process, pleadings and other papers by partnership non-resident investment adviser.....            | Registrations & Exams | OFIS | 200   | A-2  | 942-8980 |
| 7-R, Irrevocable appointment of agent of service of process, pleadings and other papers by non-resident general partner of investment adviser.....     | Registrations & Exams | OFIS | 200   | A-2  | 942-8980 |
| ADV, Application for registration of investment adviser and for amendments to registration.....  | Registrations & Exams | OFIS | 200   | A-2  | 942-8980 |
| ADV-E, Cover sheet for each certificate of accounting of client securities and funds in the possession or custody of an investment adviser.....        | Chief Counsel         | IM   | 10100 | 10-6 | 942-0659 |
| ADV-S, Annual report of registered investment adviser.....   | Registrations & Exams | OFIS | 200   | A-2  | 942-8980 |
| ADV-W, Notice of withdrawal from registration as investment adv.....   | Registrations & Exams | OFIS | 200   | A-2  | 942-8980 |
| BD, Application for registration as a broker-dealer and for amendments to registration.....  | Registrations & Exams | OFIS | 200   | A-2  | 942-8980 |
| BDW, Notice of withdrawal from registration as a broker-dealer....   | Registrations & Exams | OFIS | 200   | A-2  | 942-8980 |
| CA-1, Registration or exemption from registration as a (non-bank) clearing agency and for amendment.....   | Ester Saverson        | MR   | 5179  | 5-1  | 942-0165 |
| D, Notice of sales of securities under Regulation D.....   | Paul Dudek            | CF   | 7204  | 7-8  | 942-2990 |
| ET, Transmittal form to accompany diskette or magnetic tape EDGAR submissions.....   | Branch Chief          | OFIS | 2340  | 0-7  | 942-8990 |
| F-1, Registration of all foreign private issuers eligible to use Form 20-F.....  | Paul Dudek            | CF   | 3116  | 3-9  | 942-2990 |
| F-2, Registration of securities which are offered or to be offered in any transaction other than an exchange offer for securities of another person... | Paul Dudek            | CF   | 3116  | 3-9  | 942-2990 |
| F-3, Registration of securities of certain foreign private issuers offered pursuant to certain   |                       |      |       |      |          |

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|  |                       |      |       |      |          |
|--|-----------------------|------|-------|------|----------|
| types of transactions.....   | Paul Dudek            | CF   | 3116  | 3-9  | 942-2990 |
| F-4, Registration of foreign securities issuers in business combination transactions.....  | Paul Dudek            | CF   | 3116  | 3-9  | 942-2990 |
| F-6, Registration of depository shares evidenced by American Depository Receipts.....  | Paul Dudek            | CF   | 3116  | 3-9  | 942-2990 |
| ID, Uniform application for EDGAR identification no. & password.....   | Branch Chief          | OFIS | 200   | A-2  | 942-8980 |
| MSD, Registration form for municipal securities dealers.....   | Registrations & Exams | OFIS | 200   | A-2  | 942-8980 |
| MSDW, Withdrawal from registration as a municipal securities dealer...   | Registrations & Exams | OFIS | 200   | A-2  | 942-8980 |
| N-1, Registration for insurance company separate account registered on Form N-8A.....  | Robert Dorsey         | IM   | 10154 | 10-6 | 942-0670 |
| N-1A, Registration of open-end management investment company other than separate account of insurance company.....                                     | Chief Counsel         | IM   | 10100 | 10-6 | 942-0659 |
| N-2, Registration of closed-end management investment company.....   | Chief Counsel         | IM   | 10100 | 10-6 | 942-0659 |
| N-3, Registration for separate accounts organized as open-end management companies.....  | Chief Counsel         | IM   | 10100 | 10-6 | 942-0659 |
| N-4, Registration for separate accounts organized as unit investment trusts.....   | Chief Counsel         | IM   | 10100 | 10-6 | 942-0659 |
| N-5, Registration of small business investment company.....  | Chief Counsel         | IM   | 10100 | 10-6 | 942-0659 |
| N-5R, Annual report of small business investment company.....  | Chief Counsel         | IM   | 10100 | 10-6 | 942-0659 |
| N-6E1-1, Notification of claim of exemption of certain separate accounts of insurance companies funding certain variable life insurance contracts..... | Robert Dorsey         | IM   | 10154 | 10-6 | 942-0670 |
| N-6F, Notice of intent to elect to be a business development company.....  | Chief Counsel         | IM   | 10100 | 10-6 | 942-0659 |
| N-7, Registration form for unit investment trusts.....   | Chief Counsel         | IM   | 10100 | 10-6 | 942-0659 |
| N-8A, Notification of registration filed pursuant to §8(a).....  | Chief Counsel         | IM   | 10100 | 10-6 | 942-0659 |
| N-8B-2, Registration of unit investment trusts which are currently issuing securities.....   | Chief Counsel         | IM   | 10100 | 10-6 | 942-0659 |

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|---|---------------|----|-------|------|----------|
| N-8B-3, Registration of incorporated management investment companies currently issuing periodic payment plan certificates.....  | Chief Counsel | IM | 10100 | 10-6 | 942-0659 |
| N-8B-4, Registration of face-amount certificate companies pursuant to § 8(b).....   | Chief Counsel | IM | 5106  | 10-6 | 942-0659 |
| N-8F, Application by certain registered investment companies for order declaring company has ceased to be an investment co.....   |               | IM | 10208 | 10-4 | 942-0659 |
| N-14, Registration form for management investment and business development companies.....   | Chief Counsel | IM | 10100 | 10-6 | 942-0659 |
| N-17D-1, Quarterly report by registered small business investment co and an affiliated bank, with respect to investments.....   | Chief Counsel | IM | 10100 | 10-6 | 942-0659 |
| N-27F-1, cover page for each certificate of accounting of securities and similar investments of a management investment company in the possession or custody of a member of a national securities exchange..... | Chief Counsel | IM | 10100 | 10-6 | 942-0659 |
| N-27F-2, cover page for each certificate of accounting of securities and similar investments of a management investment company in the possession or custody of a management investment company.....            | Chief Counsel | IM | 10100 | 10-6 | 942-0659 |
| N-18F-1, Notification of election by registered open-end investment company to commit itself to pay in cash all redemptions requested by a shareholder of record.....   | Chief Counsel | IM | 10100 | 10-6 | 942-0659 |
| N-23C-1, Report of repurchase of its own securities by a closed-end investment company.....   | Chief Counsel | IM | 10100 | 10-6 | 942-0659 |
| N-27D-1, Report of accounts of segregated trust by a closed-end investment company.....   | Chief Counsel | IM | 10100 | 10-6 | 942-0659 |
| N-27D-2, Quarterly report for issuers of periodic payment plan certificates subject to the surrender right of § 27(d).....  | Chief Counsel | IM | 10100 | 10-6 | 942-0659 |
| N-27E-1, Notice to periodic payment plan certificate holders of 18-month surrender rights.....  | Chief Counsel | IM | 10100 | 10-6 | 942-0659 |
| N-27F-1, Notice to periodic payment plan certificate holders of 45-day withdrawal right.....  | Chief Counsel | IM | 10100 | 10-6 | 942-0659 |

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|  |                |    |       |      |          |
|--|----------------|----|-------|------|----------|
| N-271-1, Notice of right of withdrawal and refund for variable life insurance contract holders.....                                | Robert Dorsey  | IM | 10154 | 10-6 | 942-0670 |
| N-271-2, Notice of withdrawal right and statement of charges for variable life insurance contract holders.....                     | Robert Dorsey  | IM | 10154 | 10-6 | 942-0670 |
| N-30A-2, Annual report of unit investment trusts which are currently issuing securities.....                                       | Chief Counsel  | IM | 10100 | 10-6 | 942-0659 |
| N-30A-3, Annual report of unincorporated management investment companies currently issuing periodic payment plan certificates..... | Chief Counsel  | IM | 10100 | 10-6 | 942-0659 |
| N-54A, Notification of election to be a business development company.....  | Chief Counsel  | IM | 10100 | 10-6 | 942-0659 |
| N-54C, Notification of withdrawal of election to be a business development company.....  | Chief Counsel  | IM | 10100 | 10-6 | 942-0659 |
| N-SAR, Semi annual report of registered investment companies....   | Carolyn Miller | IM | 10030 | 10-6 | 942-0513 |
| S-1, Registration statement for securities of all issuers for which no other form is authorized or prescribed.....                 | Chief Counsel  | CF | 3026  | 3-3  | 942-2900 |
| S-2, Registration statement for shares of certain issuers with special incorporation by reference & delivery requirements.....     | Chief Counsel  | CF | 3026  | 3-3  | 942-2900 |
| S-3, Registration statement for securities of certain issuers offered pursuant to certain types of transactions.....               | Chief Counsel  | CF | 3026  | 3-3  | 942-2900 |
| S-4,, Registration of securities issued in business combination transactions.....  | Chief Counsel  | CF | 3026  | 3-3  | 942-2900 |
| S-8, Registration statement for securities to be offered to employees pursuant to certain plans.....                               | Chief Counsel  | CF | 3026  | 3-3  | 942-2900 |
| S-11, Registration statement for securities of certain real estate companies.....  | Chief Counsel  | CF | 3026  | 3-3  | 942-2900 |
| S-14, For simplified registration procedure for securities in certain transactions under Rules 133 and 145.....                    | Chief Counsel  | IM | 10100 | 10-6 | 942-0659 |

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|  |                       |      |       |      |           |
|--|-----------------------|------|-------|------|-----------|
| S-18, Optional form for registration of securities by issuers for an aggregate cash price not to exceed \$7,500,000.....                                   | Richard Wulff         | CF   | 7204  | 7-8  | 942-2950  |
| S-20, Registration statement for standardized options.....   | John C. Roycroft      | CF   | 7027  | 7-2  | 942-1960  |
| SE, Form for Exhibits under EDGAR....  | Document Control      | OFIS | 1004  | 1-4  | 942-8050  |
| SIP, Registration form for securities information processors.....  | Branch Chief          | MR   | 5185  | 5-1  | 942-0146  |
| SR-, For report of sales of securities and use of proceeds therefrom.....  | Chief Counsel         | CF   | 3026  | 3-3  | 942-2900  |
| TA-1, Registration form for transfer agents.....   | Registrations & Exams | OFIS | 200   | A-2  | 000-4201# |
| TA-2, Annual report for non-exempt transfer agents.....  | John M. Greely        | MR   | 5158  | 5-1  | 942-4173  |
| TA-W, Withdrawal of registration as a transfer agent.....  | Registrations & Exams | OFIS | 200   | A-2  | 000-4201# |
| T-1, For statement of eligibility and qualification for corporate trustees.....  | Chief Counsel         | CF   | 3026  | 3-3  | 942-2900  |
| T-2, For statement of eligibility and qualification for individual trustees.....   | Chief Counsel         | CF   | 3026  | 3-3  | 942-2900  |
| T-3, For application for qualification of trust indentures.....  | Chief Counsel         | CF   | 3026  | 3-3  | 942-2900  |
| T-4, For application for exemption pursuant to § 304(c).....   | Chief Counsel         | CF   | 3026  | 3-3  | 942-2900  |
| U-1, Application or declaration regarding sale and acquisition of assets and securities by registered holding companies and subsidiaries.....              | Robert P. Wason       | IM   | 10239 | 10-6 | 942-0543  |
| U-3A-2, Annual statement by holding company which is intra-state or predominantly an operating company, claiming exemption.....                            | Robert P. Wason       | IM   | 10239 | 10-6 | 942-0543  |
| U-3A3-1, Annual statement for banks which are exempt holding companies.....  | Robert P. Wason       | IM   | 10239 | 10-6 | 942-0543  |
| USA, Notification of registration under § 5.....   | Robert P. Wason       | IM   | 10239 | 10-6 | 942-0543  |
| USB, Registration statement by public utility holding companies providing financial and other information concerning the issue and sale of securities..... | Robert P. Wason       | IM   | 10239 | 10-6 | 942-0543  |

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|   |                      |    |       |      |          |
|---|----------------------|----|-------|------|----------|
| U5S, Annual supplements to registration statement.....  | Robert P. Wason      | IM | 10239 | 10-6 | 942-0543 |
| U-6B-2, Notification of exempt security issues.....   | Robert P. Wason      | IM | 10239 | 10-6 | 942-0543 |
| U-7D, For reporting leases of utility facilities and nuclear fuel.....  | Robert P. Wason      | IM | 10239 | 10-6 | 942-0543 |
| U-12(I)-A, Statement of a person employed or retained by a registered holding company or subsidiary thereof.....  | Robert P. Wason      | IM | 10239 | 10-6 | 942-0543 |
| U-12(I)-B, Annual statement by person regularly employed or retained by a registered holding company or subsidiary and whose employment contemplates only routine expenses..... | Robert P. Wason      | IM | 10239 | 10-6 | 942-0543 |
| U-13-1, Application for approval of mutual service company.....   | Robert P. Wason      | IM | 10239 | 10-6 | 942-0543 |
| U-13-60, Annual reports by mutual and service companies.....  | Robert P. Wason      | IM | 10239 | 10-6 | 942-0543 |
| U-13E-1, Report by affiliate companies and independent service companies.....   | Robert P. Wason      | IM | 10239 | 10-6 | 942-0543 |
| U-A, For amendments to applications, declarations, reports and statements.....  | Robert P. Wason      | IM | 10239 | 10-6 | 942-0543 |
| U-R-1, For solicitations in connection with reorganization.....   | Robert P. Wason      | IM | 10239 | 10-6 | 942-0543 |
| X-17A-5 (FOCUS REPORT), Financial information required of certain members, brokers, and dealers.....  | Roger Coffin         | MR | 5060  | 5-1  | 942-0136 |
| X-17A-19, Report by national securities exchanges and registered national securities associations of changes in membership status of any of their members.....                  | Roger Coffin         | MR | 5060  | 5-1  | 942-0136 |
| X-17F-1A, Report for missing, lost, stolen or counterfeit securities.....   | Ester Saverson, Jr.  | MR | 5179  | 5-1  | 942-0165 |
| X-15AA-1, For application for registration as a national securities association or affiliates securities association.....   | Katherine A. England | MR | 5200  | 5-1  | 942-0154 |

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|  |                        |      |      |      |          |
|--|------------------------|------|------|------|----------|
| X-15AJ-1, For amendatory and/or supplementary statements to registration statement of a national securities association or an affiliated securities association..... | Katherine A. England   | MR   | 5200 | 5-1  | 942-0154 |
| X-15AJ-2, For annual consolidated supplement of national securities association or an affiliated securities association.....   | Katherine A. England   | MR   | 5200 | 5-1  | 942-0154 |
| <b>FRAUD, WASTE OR ABUSE, internal.....</b>  | Walter Stachnik        | OIG  | 7010 | 7-9  | 942-4460 |
| <b>FREE CREDIT BALANCES (Rule 15c3-2)....</b>  | Michael A. Macchiaroli | MR   | 5048 | 5-1  | 942-0132 |
| <b>FREEDOM OF INFORMATION ACT</b>  |                        |      |      |      |          |
| FOIA/PA Officer.....   |                        | OED  | 2108 | 2-11 | 942-4320 |
| Branch Chief 1.....  | Hannah R. Hall         | OED  | 2117 | 2-11 | 942-4324 |
| Branch Chief 2.....  | Brenda Lipscomb        | OED  | 2114 | 2-11 | 942-4325 |
| Legal Questions.....   | Jessica L. Kole        | OED  | 9105 | 9-8  | 942-4304 |
| <b>FRIEND OF THE COURT BRIEFS.....</b>   | Jacob Stillman         | GC   | 6078 | 6-6  | 942-0930 |
| <b>FUTURES TRADING (Commodities).....</b>  | Michael Walinskas      | MR   | 5191 | 5-1  | 942-0188 |
|  | Roger Coffin           | MR   | 5060 | 5-1  | 942-0136 |
| <b>GARAGE</b>  |                        |      |      |      |          |
| Judiciary Plaza (SEC - Carpools)....   | Facilities Branch      | OAPM | 2000 | 6-8  | 942-4010 |
| <b>GAO LIAISON.....</b>  | Darlene Pryor          | OED  | 9110 | 9-8  | 942-4307 |
| <b>GENERAL COUNSEL ASSIGNMENTS</b>   |                        |      |      |      |          |
| Cases involving:   |                        |      |      |      |          |
| Northeast Region (New York).....   | Lucinda McConathy      | GC   | 6122 | 6-6  | 942-0904 |
| Boston   |                        |      |      |      |          |
| Philadelphia   |                        |      |      |      |          |
| Southeast Region (Miami).....  | James Brigagliano      | GC   | 6128 | 6-6  | 942-0826 |
| Atlanta  |                        |      |      |      |          |
| Midwest Region (Chicago).....  | Brian Bellardo         | GC   | 6117 | 6-6  | 942-0820 |
| Central Region (Denver).....   | Linda Stirling         | GC   | 7065 | 6-6  | 942-0952 |
| Fort Worth   |                        |      |      |      |          |
| Salt Lake  |                        |      |      |      |          |
| Pacific Region (Los Angeles).....  | Susan Yashar           | GC   | 7054 | 6-6  | 942-0840 |
| San Francisco  |                        |      |      |      |          |
| Administrative Procedure Act.....  | Diane Sanger           | GC   | 6173 | 6-6  | 942-0960 |
| Conduct Regulation.....  | Lyn Blatch             | GC   | 6160 | 6-6  | 942-0970 |
| Equal Employment Opportunity.....  | Richard M. Humes       | GC   | 6125 | 6-6  | 942-0940 |
| Federal Information Statutes.....  | Richard M. Humes       | GC   | 6125 | 6-6  | 942-0940 |
| Federal Advisory Committee Act.....  | Daniel Hirsch          | GC   | 6144 | 6-6  | 942-0870 |
| Freedom of Information Act.....  | Richard M. Humes       | GC   | 6125 | 6-6  | 942-0940 |
| Privacy Act.....   | Daniel Hirsch          | GC   | 6144 | 6-6  | 942-0870 |

\*TDD(ITY) Voice Available

#Operations Center ANNEX:

Dial 942-8970, plus 4 Digit Extension

Long Distance: HQ to Regions: Dial 9 - 1 - Area Code - 7 Digit Number

Long Distance: Regions to HQ: Dial 8 - Area Code - 7 Digit Number

|  |                         |      |      |       |                       |
|--|-------------------------|------|------|-------|-----------------------|
| Sunshine Act.....                              | Joseph Franco           | GC   | 6173 | 6-6   | 942-0880              |
| <b>GENERAL INFORMATION.....</b>                | Public Reference        | DFIS | 1024 | 1-2   | 942-8090<br>942-8092* |
| <b>GENERAL RECORD INFORMATION MANUAL.....</b>  | Suzanne McHugh          | DFIS | 200  | A-3   | 000-4650#             |
| <b>GOING PRIVATE (13e-3).....</b>              | Office of Tender Offers | CF   | 3052 | 3-4   | 942-2920              |
| <b>GOING PUBLIC.....</b>                       | Richard Wulff           | CF   | 7204 | 7-8   | 942-2950              |
| <b>GRAPHIC ARTS (See Desktop Publishing)</b>   |                         |      |      |       |                       |
| <b>GUARD</b>                                   |                         |      |      |       |                       |
| Judiciary Plaza.....                           |                         |      |      | Lobby | 942-4106              |
| Operations Center.....                         |                         |      |      | Lobby | 942-8642              |
| Operations Center Annex.....                   |                         |      |      | Lobby | 942-8970 x4100        |
| <b>GUIDES, Industry.....</b>                   | Chief Counsel           | CF   | 3026 | 3-3   | 942-2900              |
| Copies of -Staff only.....                     | Publications            | OAPM | 3C38 | C-11  | 942-4040              |
| -Public.....                                   | Publications            | OAPM | 3C30 | C-11  | 942-4046              |
| <b>HEALTH UNIT</b>                             |                         |      |      |       |                       |
| Judiciary Plaza.....                           | Dawn McCarson, R.N.     | HHS  | 7040 | 7-4   | 942-4120<br>504-2351* |
| Operations Center.....                         | Dahlia Macariola, R.N.  |      | 2325 |       | 942-4973              |
| Operations Center (Annex).....                 | Dahlia Macariola, R.N.  |      | 2325 |       | 942-4973              |
| Emergency.....                                 |                         |      |      |       | 911                   |
| <b>HISPANIC EMPLOYMENT PROGRAM INFORMATION</b> |                         |      |      |       |                       |
| Headquarters.....                              | Ivette Lopez            | MR   | 5194 | 5-1   | 942-0765              |
|  | Sonja Addison           | EEO  | 2177 | 2-12  | 942-0051              |
|  | Darren Goebels          | EEO  | 2177 | 2-12  | 942-0056              |
|  |                         | EEO  |      |       | 942-9546              |
| Regions.....                                   | Carole Busby            | ADO  |      |       | 404-842-7619          |
|  | Mary Casey              | BDO  |      |       | 617-424-5900x649      |
|  | Diana Davis             | PRO  |      |       | 213-965-3998          |
|  | Kelly Lawrence          | SDO  |      |       | 206-399-7990          |
|  | Joseph Matta            | FWDO |      |       | 817-885-6472          |
|  | Raymond Rodriguez       | NERO |      |       | 212-748-8334          |
|  | Lilia Gonzalez Wiseman  | SERO |      |       | 404-536-4610          |
|  | Fred Chavez             | CRO  |      |       | 303-391-6860          |
| <b>HOT LINE</b>                                |                         |      |      |       |                       |
| Mainframe.....                                 | Computer Room           | OIT  | 1500 | 0-1   | 942-8653              |
| Microcomputers.....                            | USIC                    | OIT  | 2204 | 2-10  | 942-4357              |
| Telephone (Repair and Service).....            | USIC                    | OIT  | 2204 | 2-10  | 942-4357              |
| <b>HOUSING industry group.....</b>             | Shelley E. Parratt      | CF   | 7156 | 7-6   | 942-1840              |
| <b>HYPOTHECATIONS.....</b>                     | Michael A. Macciaroli   | MR   | 5048 | 5-1   | 942-0132              |
| <b>IDENTIFICATION CARDS.....</b>               | Facilities Branch       | OAPM | 2C26 | C-8   | 942-4110              |
| (Hours: 10:00 - 10:30 and 3:00 - 3:30)         |                         |      |      |       |                       |
| <b>IMPREST FUND (Hours 10:00-1200).....</b>    | Deidra Williams         | OAPM | 2C01 | C-8   | 942-4117              |
| <b>INDUSTRY GROUPS</b>                         |                         |      |      |       |                       |
| Corporation Finance assignments:               |                         |      |      |       |                       |
| Aerospace, Aircraft & Parts.....               | John C. Roycroft        | CF   | 7027 | 7-2   | 942-1960              |
| Apparel & Textiles.....                        | H. Christopher Owings   | CF   | 7081 | 7-5   | 942-1900              |

**\*TDD(TTY) Voice Available**

#Operations Center ANNEX: Dial 942-8970, plus 4 Digit Extension  
Long Distance: HQ to Regions: Dial 9 - 1 - Area Code - 7 Digit Number  
Long Distance: Regions to HQ: Dial 8 - Area Code - 7 Digit Number

|   |                                   |          |              |             |                      |
|---|-----------------------------------|----------|--------------|-------------|----------------------|
| Appliances.....                                 | Steven Duvall                     | CF       | 3072         | 3-5         | 942-1950             |
| Automotive & Other Vehicles.....                | James M. Daly                     | CF       | 3134         | 3-10        | 942-1800             |
| Banks and Savings & Loans.....                  | A. Richard Tow                    | CF       | 3167         | 3-11        | 942-1760             |
| Beverages.....                                  | John C. Roycroft                  | CF       | 7027         | 7-2         | 942-1960             |
| Building Materials & Related<br>Services.....   | Steven Duvall                     | CF       | 3072         | 3-5         | 942-1950             |
| Chemicals.....                                  | A. Richard Tow                    | CF       | 3167         | 3-11        | 942-1760             |
| Communications.....                             | H. Christopher Owings             | CF       | 7081         | 7-5         | 942-1900             |
| Computers.....                                  | Steven Duvall                     | CF       | 3072         | 3-5         | 942-1950             |
| Containers.....                                 | Steven Duvall                     | CF       | 3072         | 3-5         | 942-1950             |
| Contractors & Related Services.....             | Steven Duvall                     | CF       | 3072         | 3-5         | 942-1950             |
| Drugs.....                                      | James M. Daly                     | CF       | 3134         | 3-10        | 942-1800             |
| Electrical.....                                 | James M. Daly                     | CF       | 3134         | 3-10        | 942-1800             |
| Electronic.....                                 | James M. Daly                     | CF       | 3134         | 3-10        | 942-1800             |
| Energy.....                                     | H. Christopher Owings             | CF       | 7081         | 7-5         | 942-1900             |
| Financial.....                                  | John C. Roycroft                  | CF       | 7027         | 7-2         | 942-1960             |
| Food.....                                       | James M. Daly                     | CF       | 3134         | 3-20        | 942-1800             |
| Foreign Governments.....                        | Steven Duvall                     | CF       | 3072         | 3-5         | 942-1950             |
| Housing.....                                    | Shelley Parratt                   | CF       | 7156         | 7-6         | 942-1840             |
| Instruments.....                                | H. Christopher Owings             | CF       | 7081         | 7-5         | 942-1900             |
| Insurance.....                                  | Steven Duvall                     | CF       | 3072         | 3-5         | 942-1950             |
| Leisure (Resorts).....                          | John C. Roycroft                  | CF       | 7027         | 7-2         | 942-1960             |
| Machinery.....                                  | Steven Duvall                     | CF       | 3072         | 3-5         | 942-1950             |
| Manufacturing.....                              | Shelley Parratt                   | CF       | 7156         | 7-6         | 942-1840             |
| Metal Producers.....                            | Shelley Parratt                   | CF       | 7156         | 7-6         | 942-1840             |
| Metals and Mining.....                          | A. Richard Tow                    | CF       | 3167         | 3-11        | 942-1760             |
| Mining.....                                     | A. Richard Tow                    | CF       | 3167         | 3-11        | 942-1760             |
| Mortgages.....                                  | John C. Roycroft                  | CF       | 7027         | 7-2         | 942-1960             |
| Natural Resources and<br>Related Equipment..... | John C. Roycroft<br>James M. Daly | CF<br>CF | 7027<br>3134 | 7-2<br>3-10 | 942-1960<br>942-1800 |
| Office Equipment.....                           | Steven Duvall                     | CF       | 3072         | 3-5         | 942-1950             |
| Oil and Gas.....                                | James M. Daly                     | CF       | 3134         | 3-10        | 942-1800             |
| Paper.....                                      | H. Christopher Owings             | CF       | 7081         | 7-5         | 942-1900             |
| Personal Care & Use Products.....               | Steven Duvall                     | CF       | 3072         | 3-5         | 942-1950             |

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**Long Distance: HQ to Regions:** Dial 9 - 1 - Area Code - 7 Digit Number  
**Long Distance: Regions to HQ:** Dial 8 - Area Code - 7 Digit Number

|                             |                       |      |      |      |          |
|-----------------------------|-----------------------|------|------|------|----------|
| Publishing.....             | John C. Roycroft      | CF   | 7027 | 7-2  | 942-1960 |
| Radio.....                  | H. Christopher Owings | CF   | 7081 | 7-5  | 942-1900 |
| Railroads.....              | Shelley Parratt       | CF   | 7156 | 7-6  | 942-1840 |
| Real Estate.....            | Shelley Parratt       | CF   | 7156 | 7-6  | 942-1840 |
| Research.....               | H. Christopher Owings | CF   | 7081 | 7-5  | 942-1900 |
| Resorts (Leisure).....      | John C. Roycroft      | CF   | 7027 | 7-2  | 942-1960 |
| Retailing.....              | A. Richard Tow        | CF   | 3167 | 3-11 | 942-1960 |
| Savings & Loans.....        | A. Richard Tow        | CF   | 3167 | 3-11 | 942-1960 |
| Service industries.....     | Shelley Parratt       | CF   | 7156 | 7-6  | 942-1840 |
| Telegraph.....              | H. Christopher Owings | CF   | 7081 | 7-5  | 942-1900 |
| Television.....             | H. Christopher Owings | CF   | 7081 | 7-5  | 942-1900 |
| Textiles.....               | H. Christopher Owings | CF   | 7081 | 7-5  | 942-1900 |
| <b>INDUSTRY GUIDES.....</b> | Chief Counsel         | CF   | 3026 | 3-3  | 942-2900 |
| Copies of - Staff Only..... | Publications          | OAPM | 3C38 | C-11 | 942-4040 |
| - Public.....               | Publications          | OAPM | 3C38 | C-11 | 942-4046 |

**INFORMATION**

|  |                  |      |      |     |          |
|--|------------------|------|------|-----|----------|
| General Information.....                                     | Public Reference | OFIS | 1024 | 1-6 | 942-8090 |
| Recorded messages [for touch tone<br>telephone callers]..... | 942-8088 - Code  |      |      |     |          |
| SEC Information Line Directory.....                          | 10               |      |      |     |          |
| SEC Address and Business Hours.....                          | 15               |      |      |     |          |
| SEC Organizational Structure.....                            | 20               |      |      |     |          |
| Public Affairs.....  | 25               |      |      |     |          |
| Public Reference Room.....                                   | 30               |      |      |     |          |
| Publications.....  | 33               |      |      |     |          |
| <b>Consumer Affairs</b>                                      |                  |      |      |     |          |
| Investor Inquiries.....                                      | 35               |      |      |     |          |
| Investor Complaints.....                                     | 40               |      |      |     |          |
| Freedom of Information Act Requests.....                     | 45               |      |      |     |          |
| Privacy Act Requests.....                                    | 50               |      |      |     |          |
| <b>Corporation Finance</b>                                   |                  |      |      |     |          |
| Small Business Filers.....                                   | 55               |      |      |     |          |
| International Corporate Finance.....                         | 60               |      |      |     |          |
| <b>Investment Management</b>                                 |                  |      |      |     |          |
| Investment Adviser Registration.....                         | 65               |      |      |     |          |
| Investment Company Registration.....                         | 70               |      |      |     |          |
| Applications for Exemptive Relief...                         | 75               |      |      |     |          |
| Electronic Filing of Form N-SAR.....                         | 80               |      |      |     |          |
| <b>Market Regulation</b>                                     |                  |      |      |     |          |
| Broker-Dealer Registration.....                              | 85               |      |      |     |          |
| Lost and Stolen Securities.....                              | 90               |      |      |     |          |
| Trading Suspensions.....                                     | 95               |      |      |     |          |

NOTE: Callers using rotary dial telephones will automatically be switched to an operator for assistance.

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#Operations Center ANNEX: Dial 942-8970, plus 4 Digit Extension  
Long Distance: HQ to Regions: Dial 9 - 1 - Area Code - 7 Digit Number  
Long Distance: Regions to HQ: Dial 8 - Area Code - 7 Digit Number



|  |   |      |       |      |                        |
|--|---|------|-------|------|------------------------|
| <b>INJURY (Personal)</b> .....   | Harry Fleming                           | OAPM | 2C00  | C-8  | 942-4010               |
| Judiciary Plaza.....   | Nurse                                   | HHS  | 7040  | 7-4  | 942-4120               |
| Operations Center.....   | Nurse                                   |      | 2325  |      | 504-2351*<br>942-4973* |
| <b>INSIDER TRADING ACTIVITIES</b>                                      |   |      |       |      |                        |
| Enforcement.....   |   | ENF  | 4010  | 4-1  | 942-4542               |
| <b>INSIDER TRADING REQUIREMENTS</b> .....                              | Chief Counsel                           | CF   | 3026  | 3-3  | 942-2870               |
| <b>INSPECTOR GENERAL</b> Fraud, Waste, Abuse.                          | Walter Stachnik                         | OIG  | 7010  | 7-9  | 942-4460               |
| <b>INSTITUTIONAL INVESTMENT MANAGERS</b>                               |   |      |       |      |                        |
| Disclosure .....   | Chief Counsel                           | IM   | 10100 | 10-6 | 942-0659               |
| <b>INSTRUMENTS &amp; RESEARCH</b> industry.....                        | H. Christopher Owings                   | CF   | 7081  | 7-5  | 942-1900               |
| <b>INSURANCE</b> industry group.....                                   | Michael L. Hermsen                      | CF   | 3072  | 3-5  | 942-1950               |
| <b>INSURANCE COMPANIES</b> (Enforcement).....                          | Paul Huey-Burns                         | ENF  | 4078  | 4-10 | 942-4649               |
| <b>INSURANCE PRODUCTS</b> (Variable Annuities/Variable Life Insurance) |   |      |       |      |                        |
| Disclosure.....  | Robert Dorsey                           | IM   | 10154 | 10-6 | 942-0673               |
| Exemptions.....  | Wendell M. Faria                        | IM   | 10158 | 10-6 | 942-0672               |
| <b>INTERAGENCY REPORTS COORDINATOR</b> .....                           |   | OAPM | 2C40  | C-9  | 942-4030               |
| <b>INTERNAL AUDIT</b> .....  | Walter Stachnik                         | OIG  | 7010  | 7-9  | 942-4460               |
| <b>INTERNATIONAL CORPORATE FINANCE-</b><br>(Corporation Finance).....  |   |      |       |      |                        |
|  | Paul Dudek                              | CF   | 3116  | 3-9  | 942-2990               |
| <b>INTERNATIONAL LEGAL ASSISTANCE</b> .....                            |   |      |       |      |                        |
|  | Michael D. Mann                         | OIA  | 10000 | 10-1 | 942-2770               |
|  | Paul A. Leder                           | OIA  | 10009 | 10-1 | 942-2770               |
|  | Elizabeth Jacobs                        | OIA  | 10002 | 10-1 | 942-2770               |
|  | Robert D. Strahota                      | OIA  | 10002 | 10-1 | 942-2770               |
|  | Lisa A. Schwartz                        | OIA  | 10014 | 10-1 | 942-2770               |
| <b>INTERNATIONAL SECURITIES</b> .....                                  | Paul Dudek                              | CF   | 3098  | 3-7  | 942-2990               |
| <b>INTERPRETERS</b>  |   |      |       |      |                        |
|  | See: Sign Language Interpreter Requests |      |       |      |                        |
| <b>INTERPRETIVE MATTERS</b>  |   |      |       |      |                        |
| Bankruptcy Reorganization.....   | Michael A. Berman                       | GC   | 6119  | 6-6  | 942-0810               |
| Corporation Finance.....   | Chief Counsel                           | CF   | 3026  | 3-3  | 942-2900               |
| Enforcement.....   | Gretta Powers                           | ENF  | 4119  | 4-3A | 942-4756               |
| Investment Advisers.....   | Chief Counsel                           | IM   | 10091 | 10-6 | 942-0659               |
| Investment Companies.....  | Chief Counsel                           | IM   | 10091 | 10-6 | 942-0659               |
| Market Regulation.....   | Robert L.D. Colby                       | MR   | 5006  | 5-1  | 942-0094               |
| Public Utility Holding Companies....                                   | William C. Weeden                       | IM   | 10236 | 10-6 | 942-0545               |
| <b>INVESTIGATIONS</b> (Information).....                               |   |      |       |      |                        |
| Internal Commission [Ethics].....                                      | Records Management                      | OFIS | 500   | A-3  | 000-4650#              |
|  | Walter Stachnik                         | OIG  | 7010  | 7-9  | 272-3152               |
| <b>INVESTMENT ADVISERS</b>   |   |      |       |      |                        |
| Advertising.....   | Robert E. Plaze                         | IM   | 10054 | 10-6 | 942-0721               |
| Application for Registration   |   |      |       |      |                        |
| Staff (Blank Forms).....   | Publications                            | OAPM | 3C38  | C-11 | 942-4040               |
| Public (Blank Forms).....  | Publications                            | OAPM | 3C38  | C-11 | 942-4046               |

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 Long Distance: HQ to Regions: Dial 9 - 1 - Area Code - 7 Digit Number  
 Long Distance: Regions to HQ: Dial 8 - Area Code - 7 Digit Number

|   |                          |      |       |      |            |
|---|--------------------------|------|-------|------|------------|
| Complaints.....                               | Consumer Specialists     | OS   | 2130  | 2-6  | 942-7040   |
| Directory of.....                             | Registrations & Exams    | OFIS | 200   | A-2  | 000-4201#  |
| Financial Reporting.....                      | R. Michael Parker        | IM   | 10022 | 10-6 | 942-0522   |
| Foreign.....                                  | Chief Counsel            | IM   | 10100 | 10-6 | 942-0659   |
| Inspections.....                              | R. Michael Parker        | IM   | 10022 | 10-6 | 942-0522   |
| Interpretive Matters.....                     | Chief Counsel            | IM   | 10100 | 10-6 | 942-0659   |
| Recordkeeping.....                            | R. Michael Parker        | IM   | 10022 | 10-6 | 942-0522   |
| Registration Information.....                 | Registrations & Exams    | OFIS | 200   | A-2  | 000-4201#  |
| Withdrawal Information.....                   | Registrations & Exams    | OFIS | 200   | A-2  | 000-4201#  |
| <b>INVESTMENT COMPANIES</b>                   |                          |      |       |      |            |
| Accounting.....                               | Lawrence Friend          | IM   | 10099 | 10-6 | 942-0590   |
| Application for Registration                  |                          |      |       |      |            |
| Staff (Blank Forms).....                      | Publications             | OAPM | 3C38  | C-11 | 942-4040   |
| Public (Blank Forms).....                     | Publications             | OAPM | 3C38  | C-11 | 942-4046   |
| Complaints.....                               | Consumer Specialists     | OS   | 2130  | 2-6  | 942-7040   |
| Compliance.....                               | R. Michael Parker        | IM   | 10022 | 10-6 | 942-0522   |
| Disclosure.....                               | Carolyn B. Lewis         | IM   | 10111 | 10-6 | 942-0589   |
| Exemptions.....                               |                          | IM   | 10192 | 10-4 | 942-0564   |
| Inspections.....                              | R. Michael Parker        | IM   | 10022 | 5-2  | 942-0522   |
| Insurance Co. Separate Accounts.....          | Clifford Kirsch          | IM   | 10162 | 5-2  | 942-0670   |
| Interpretive Matters.....                     | Chief Counsel            | IM   | 10100 | 10-6 | 942-0660   |
| <b>INVESTOR INQUIRIES AND COMPLAINTS.....</b> | Consumer Specialists     | OS   | 2130  | 2-6  | 942-7040   |
| <b>ISSUER REPURCHASES - Rule 10b-18.....</b>  | Nancy Sanow              | MR   | 5030  | 5-1  | 942-0772   |
| <b>ISSUER TENDER OFFERS - Rule 13e-4.....</b> | Nancy Sanow              | MR   | 5030  | 5-1  | 942-0772   |
| <b>JUDICIARY PLAZA SHUTTLE SERVICES -</b>     |                          |      |       |      |            |
| <b>AFTER HOURS ONLY.....</b>                  | Car Phone                |      |       |      | 9-374-7508 |
| Hrs. of Operation (6 p.m. - 8:00 p.m.)        | Pager                    |      |       |      | 9-996-6596 |
| <b>JUNK BONDS</b>                             |                          |      |       |      |            |
| Complaints.....                               | Consumer Specialists     | OS   | 2115  | 2-6  | 942-7040   |
| <b>LEGISLATION.....</b>                       |                          |      |       |      |            |
|   | Daniel Hirsch            | GC   | 6144  | 6-6  | 942-0870   |
|   | Peter Kiernan            | ES   | 6012  | 6-2  | 942-0015   |
| <b>LEISURE (RESORTS) industry group.....</b>  | John C. Roycroft         | CF   | 7027  | 7-2  | 942-1960   |
| <b>LEXIS (Cards, Training).....</b>           |                          | OAPM | 2457  | 0-21 | 942-4985   |
| (See your Administrative Contact)             |                          |      |       |      |            |
| <b>LIBRARY.....</b>                           |                          | OS   | 1000  | C-2  | 942-7090   |
| <b>LIMITED PARTNERSHIPS</b>                   |                          |      |       |      |            |
| Real Estate.....                              | Shelley Parratt          | CF   | 7156  | 7-6  | 942-1840   |
| Reg D.....                                    | Office of Small Business | CF   | 7201  | 7-8  | 942-2644   |

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|  |                         |      |       |      |           |
|--|-------------------------|------|-------|------|-----------|
| <b>LITIGATION</b>                              |                         |      |       |      |           |
| Litigation & Enforcement Info.....             | Records Management      | OFIS | 300   | A-3  | 000-4650# |
| <b>LOBBY DIRECTORY</b> .....                   | Annette Kamara          | OAPM | 2C00  | C-8  | 942-4016  |
| <b>LOST AND STOLEN PROPERTY</b> .....          | Michelle Walker         | OAPM | 2C14  | C-8  | 942-4110  |
| <b>LOST AND STOLEN SECURITIES</b> .....        | Ester Saverson, Jr.     | MR   | 5179  | S-1  | 942-0165  |
| <b>MACHINERY</b> industry group.....           | Steven Duvall           | CF   | 3072  | 3-5  | 942-1950  |
| <b>MAIL</b> .....                              |                         | OAPM | 2C53  | C-13 | 942-4045  |
| Special Handling.....                          | David Miller            | OAPM | 2C40  | C-9  | 942-4045  |
| <b>MAILING LIST UPDATE</b>                     |                         |      |       |      |           |
| 1933 - 1934 Acts.....                          | Quality Control         | OFIS | 900   | A-1  | 000-4475# |
| 1935 - 1940 Acts.....                          | Quality Control         | OFIS | 900   | A-1  | 000-4475# |
| Broker-Dealer.....                             | Quality Control         | OFIS | 900   | A-1  | 000-4475# |
| Courtesy .....                                 |                         | OED  | 9110  | 9-8  | 942-4300  |
| Investment Adviser.....                        | Quality Control         | OFIS | 900   | A-1  | 000-4475# |
| <b>MAINFRAME</b> .....                         | Computer Room           | OIT  | 1C80  | 2-10 | 942-4876  |
| <b>MANAGEMENT CONTROLS</b> .....               | Darlene Pryor           | OED  | 9116  | 9-8  | 942-4307  |
| <b>MANAGEMENT PERQUISITES</b> .....            | Paul Huey-Burns         | ENF  | 4078  | 4-10 | 942-4649  |
| <b>MANUFACTURING</b> industry group.....       | Shelley Parratt         | CF   | 7156  | 7-6  | 942-1840  |
| <b>MARGIN REQUIREMENTS</b> .....               | Robert L.D. Colby       | MR   | 5006  | 5-1  | 942-0094  |
|  | Michael A. Macchiaroli  | MR   | 5048  | 5-1  | 942-0132  |
| <b>MARKET SURVEILLANCE</b>                     |                         |      |       |      |           |
| Enforcement.....                               | Joseph J. Cella         | ENF  | 4075  | 4-3  | 942-4573  |
| Market Regulation.....                         | Julio Mojica            | MR   | 5156  | 5-1  | 942-0756  |
| <b>MARKET TRADING DATA</b> .....               | William J. Atkinson     | OEA  | 9181  | 9-1  | 942-8020  |
| <b>MARKET WATCH</b> .....                      |                         | MR   | 5161  | 5-1  | 942-0760  |
| <b>MERGERS &amp; ACQUISITIONS</b>              |                         |      |       |      |           |
| [Schedules 13D and 14D]                        |                         |      |       |      |           |
| Interpretations & Policy.....                  | Office of Tender Offers | CF   | 3052  | 3-4  | 942-2920  |
| Enforcement Questions.....                     |                         | ENF  | 4012  | 4-1  | 942-4542  |
|  | Jerry Isenberg          | ENF  | 4093  | 4-3B | 942-4652  |
| Utility Holding Companies.....                 | William C. Weeden       | IM   | 10236 | 10-6 | 942-0545  |
| Market Trading Practices.....                  | Nancy Sanow             | MR   | 5030  | 5-1  | 942-0772  |
| <b>MESSENGERS (Mail)</b> .....                 |                         | OAPM | 2C53  | C-13 | 942-4045  |
| Handcarried Packages.....                      | Facilities              | OAPM | 2C00  | C-8  | 942-4010  |
| <b>METALS PRODUCERS</b> industry group.....    | Shelley Parratt         | CF   | 7156  | 7-6  | 942-1840  |
| <b>METALS &amp; MINING</b> industry group..... | A. Richard Tow          | CF   | 3167  | 3-11 | 942-1760  |
| <b>MICROCOMPUTERS</b> .....                    | USIC                    | OIT  | 2204  | 2-10 | 942-4357  |
| <b>MICROFICHE FILES</b> .....                  | Records Management      | OFIS | 500   | A-3  | 000-4650# |
| <b>MICROGRAPHICS</b>                           |                         |      |       |      |           |
| Request to Microfiche Files.....               | David Miller            | OAPM | 2C40  | C-9  | 942-4030  |

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|  |                        |        |       |          |           |
|--|------------------------|--------|-------|----------|-----------|
| <b>MINING</b> .....  | Carlos A. Chavez       | CF     | 3095  | 3-6      | 942-2970  |
| Industry group.....  | A. Richard Tow         | CF     | 3167  | 3-11     | 942-1760  |
| <b>MONEY MARKET FUNDS</b> .....                                      | Kenneth J. Berman      | IM     | 10056 | 10-4     | 942-0721  |
| <b>MONITORING PROGRAMS</b>   |                        |        |       |          |           |
| B/D Financial Responsibility.....                                    | William J. Atkinson    | OEА    | 9181  | 9-1      | 942-8020  |
| National Market System.....  | Terry M. Chuppe        | OEА    | 9002  | 9-1      | 942-8020  |
| 13F.....   | Alice R. Latimer       | IM     | 10045 | 10-6     | 942-0658  |
| <b>MORTGAGES</b> industry group.....                                 | Shelley Parratt        | CF     | 7157  | 7-6      | 942-1840  |
| <b>MOTOR POOL INFORMATION</b> .....                                  | Michelle Walker        | OAPM   | 2C14  | C-8      | 942-4110  |
| <b>MOVING</b> .....  | Harry Fleming          | OAPM   | 2C00  | C-8      | 942-4010  |
| Operations Center.....   | Michelle Walker        |        | 2C14  | C-8      | 942-4110  |
| Joseph Williams  |                        |        | 1414  | 0-12     | 942-4975  |
| <b>MUNICIPAL SECURITIES</b> .....                                    | Chief Counsel          | MR     | 5048  | 7-10     | 942-0073  |
| Investment Companies.....  | Chief Counsel          | IM     | 10100 | 10-6     | 942-0659  |
| <b>MUNICIPAL SECURITIES DEALERS</b>                                  |                        |        |       |          |           |
| Files.....   | Records Management     | OFIS   | 500   | A-3      | 000-4650# |
| Registration.....  | Registrations & Exams  | OFIS   | 200   | A-2      | 000-4201# |
| <b>MUNICIPAL SECURITIES</b>  |                        |        |       |          |           |
| Rulemaking Board.....  | Elizabeth MacGregor    | MR     | 5199  | 5-1      | 942-0158  |
| <b>MUTUAL FUNDS</b> .....  | Chief Counsel          | IM     | 10100 | 10-6     | 942-0659  |
| <b>NASD AND NASDAQ REGULATION</b> .....                              | Katherine A. England   | MR     | 5200  | 5-1      | 942-0154  |
| <b>NASD SURVEILLANCE &amp; INSPECTION</b> .....                      | Michael Dorsey         | MR     | 5119  | 5-1      | 942-4163  |
| Xiomara Corral   | MR                     | 5144   | 5-1   | 942-0762 |           |
| <b>NATIONAL CLEARANCE &amp; SETTLEMENT SYSTEM</b> .....              |                        |        |       |          |           |
| Jonathan Kallman   | MR                     | 5002   | 5-1   | 942-0130 |           |
| <b>NATIONAL MARKET SYSTEM</b> .....                                  | Elizabeth MacGregor    | MR     | 5199  | 5-1      | 942-0158  |
| <b>NATIONAL SECURITIES ASSOCIATIONS</b> .....                        | Katherine A. England   | MR     | 5200  | 5-1      | 942-0154  |
| <b>NATURAL RESOURCES &amp; RELATED EQUIPMENT</b> industry group..... | John C. Roycroft       | CF     | 7027  | 7-2      | 942-1960  |
| James M. Daly  | CF                     | 3134   | 3-10  | 942-1800 |           |
| <b>NET CAPITAL (Rule 15c3-1)</b> .....                               | Michael A. Macchiaroli | MR     | 5048  | 5-1      | 942-0132  |
| Economic Analysis & Monitoring.....                                  | William J. Atkinson    | OEА    | 9181  | 9-1      | 942-8020  |
| <b>NEWS CLIPS</b> .....  | Irene Proctor          | OPAPER | 7103  | 7-1      | 942-0020  |
| Mary Neal  | OPAPER                 | 7103   | 7-1   | 942-0020 |           |
| <b>NEWS DIGEST</b> .....   | Carlene Akins          | OPAPER | 7103  | 7-1      | 942-0026  |
| Distribution.....  | Publications           | OAPM   | 3C38  | C-11     | 942-4040  |
| <b>NEWSPAPER</b>   |                        |        |       |          |           |
| Daily News Items.....  | Irene Proctor          | OPAPER | 7103  | 7-1      | 942-0020  |
| Mary Neal  | OPAPER                 | 7103   | 7-1   | 942-0020 |           |
| Articles & Information for Employee News.....                        | Mary Teel              | OPAPER | 7103  | 7-1      | 942-0027  |
| <b>NO ACTION LETTER</b>  |                        |        |       |          |           |
| Broker-Dealer Registration.....                                      | Chief Counsel          | MR     | 7120  | 7-10     | 942-0073  |
| Corporation Finance.....   | Chief Counsel          | CF     | 3026  | 3-3      | 942-2900  |
| Investment Advisers.....   | Chief Counsel          | IM     | 10100 | 10-6     | 942-0659  |
| Investment Companies.....  | Chief Counsel          | IM     | 10100 | 10-6     | 942-0659  |

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|                                       |                     |     |       |      |                       |
|---------------------------------------|---------------------|-----|-------|------|-----------------------|
| Public Utility Holding Companies..... | William C. Weeden   | IM  | 10236 | 10-6 | 942-0545              |
| <b>NOTARY PUBLIC</b> .....            | Cynthia McGrigg     | GC  | 6077  | 6-6  | 942-0908              |
|                                       | Candyce D. Pare     | ENF | 4010  | 4-1  | 942-4746              |
|                                       | Hilda E. Lucas      | ENF | 4017  | 4-1  | 942-4696              |
| (Operations Center)                   | Deborah Bowlding    | OIT | 2103  | 0-4  | 942-8812              |
| <b>NURSE</b>                          |                     |     |       |      |                       |
| Judiciary Plaza.....                  | Dawn McCarson, R.N. | HHS | 7040  | 7-4  | 942-4120<br>504-2351* |
| Operations Center and Annex.....      | Nancy Fauth, R.N.   |     | 2325  |      | 942-4973              |
| <b>NYSE INSPECTION</b> .....          | James Chan          | MR  | 5126  | 5-1  | 942-0743              |

**OFFICE OF ADMINISTRATIVE AND PERSONNEL  
MANAGEMENT**

Office Assignments of the Classification  
and Staffing Branch:

|  |                                |      |      |     |          |
|--|--------------------------------|------|------|-----|----------|
| Jim Wohlgenuth, Branch Chief             |                                | OAPM | 2029 | 2-3 | 942-4070 |
| Edith Hocutt, Employment Program Officer |                                | OAPM | 2029 | 2-3 | 942-4062 |
| Chris Kubelick, Chief Classifier         |                                | OAPM | 2029 | 2-3 | 942-4063 |
| Gina Basile.....                         | ALJ, ED, ES, IG, OS,<br>OPAPER | OAPM | 2029 | 2-3 | 942-4067 |
| Elizabeth Hildes.....                    | CF, CRO, FWDO                  | OAPM | 2029 | 2-3 | 942-4068 |
| Nancy Greenblatt.....                    | IA, MR, MRO, PRO, SDO          | OAPM | 2029 | 2-3 | 942-4064 |
| Lawrence Cohen.....                      | OFICS, OIT, SERO, ADO          | OAPM | 2029 | 2-3 | 942-4066 |
| Elizabeth Dreyer.....                    | ENF, OED, GC                   | OAPM | 2029 | 2-3 | 942-4069 |
| Trinette Royal.....                      | IM, OC, OCA, EEO               | OAPM | 2029 | 2-3 | 942-4071 |
| (Vacant).....                            | OAPM, NERO, PDO, BDO           | OAPM | 2029 | 2-3 | 942-4072 |
| Outstanding Scholar.....                 |                                | OAPM | 2029 | 2-3 | 942-4072 |
| Pay Administration.....                  | Gina Basile                    | OAPM | 2029 | 2-3 | 942-4067 |
| Performance Appraisal.....               | Elizabeth Hildes               | OAPM | 2029 | 2-3 | 942-4068 |
| <b>Recruitment</b>                       |                                |      |      |     |          |
| Senior Executive Service.....            | Carol Smith                    | OAPM | 2029 | 2-3 | 942-4198 |
| Accountants.....                         | Trinette Royal                 | OAPM | 2029 | 2-3 | 942-4071 |
| Attorneys.....                           | William Hundley                | OAPM | 2029 | 2-3 | 942-4073 |
| Financial Analysts.....                  | Staff Employ. Rel. Spec.       | OAPM | 2029 | 2-3 |          |
| Investigators.....                       | Staff Employ. Rel. Spec.       | OAPM | 2029 | 2-3 |          |
| Secretaries and Clerical Support         | Staff Employ. Rel. Spec.       | OAPM | 2029 | 2-3 |          |
| Securities Compliance Examiner..         | Trinette Royal                 | OAPM | 2029 | 2-3 | 942-4071 |
| Stay-In-School.....                      | Nancy Greenblatt               | OAPM | 2029 | 2-3 | 942-4064 |
| Summer "Clerical" Employment Program     | Liz Dreyer                     | OAPM | 2029 | 2-3 | 942-4069 |
| Summer "Legal" Employment Program        |                                | OAPM | 2029 | 2-3 | 942-4072 |
| Temporary Hire Program.....              | Edith Hocutt                   | OAPM | 2029 | 2-3 | 942-4062 |
| Volunteers.....                          |                                | OAPM | 2029 | 2-3 | 942-4072 |

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Office Assignments for Branch of  
Employee Relations and Development

|   |   |      |      |      |                       |
|---|---|------|------|------|-----------------------|
| Eugene Johnson, Branch Chief.....   |   |      |      |      | 942-4983              |
| Jean Burton, Training Officer....   | ES, ED  | OAPM | 2456 | 0-21 | 942-4984              |
| Senia Tucker.....   | CF, MR, OIT, OIG<br>OPAPER, NE Region<br>Southeast Region                 | OAPM | 2457 | 0-21 | 942-4985              |
| .....   | OFICS, ENF, OCA,<br>OS, OGC, OC, OIG<br>Central Region,<br>Midwest Region | OAPM | 2457 | 0-21 | 942-4987              |
| Saunji Fyffe.....   | OAPM, IM, ALJ,<br>OEA, OIA, EEO,<br>Pacific Region                        | OAPM | 2457 | 0-21 | 942-4988              |
| Alcoholism and Drug Abuse<br>National Program Administrator..                               | Mark Raisher  | OAPM | 2051 | 2-2A | 942-4090              |
| Career Counseling.....  | Jean Burton   | OAPM | 2460 | 0-21 | 942-4984              |
|   | Senia Tucker  | OAPM | 2457 | 0-21 | 942-4985              |
|   | Saunji Fyffe  | OAPM | 2457 | 0-21 | 942-4988              |
| Coordinator for Selective.....<br>Placement (Disability)                                    | Nancy Wolynetz  | OAPM | 2051 | 2-2A | 942-4091<br>942-4075* |
| Conduct Registration.....   | Ellen Bliss   | OAPM | 2051 | 2-2A | 942-4092              |
| Training Officer.....   | Jean Burton   | OAPM | 2456 | 0-21 | 942-4984              |
| Training Registrar.....   | Vanessa Lee   | OAPM | 2458 | 0-21 | 942-4986              |
| Employee Relations Program.....<br>Labor Relations, Disciplinary/<br>Adverse Action Liaison | Mark Raisher  | OAPM | 2029 | 2-3  | 942-4090              |
| Executive Development &.....<br>Supervisory Training  | Jean Burton   | OAPM | 2456 | 0-21 | 942-4984              |
| Leave Donor Program.....  | Senia Tucker  | OAPM | 2457 | 0-21 | 942-4985              |
|   | Saunji Fyffe  | OAPM | 2457 | 0-21 | 942-4988              |
| Security Officer.....   | Lawan Conley-McLean   | OAPM | 2051 | 2-3  | 942-4093              |
| Selective Placement Coordinator..   | Nancy Wolynetz  | OAPM | 2051 | 2-2A | 942-4091<br>942-4075* |
| Veteran's Liaison.....  | Nancy Wolynetz  | OAPM | 2051 | 2-2A | 942-4091<br>942-4075* |

Office Assignments of Processing  
and Benefits Branch:

Personnel Actions Clerks (AO):

|                    |                       |      |      |     |          |
|--------------------|-----------------------|------|------|-----|----------|
| Denise Taylor..... | ES, OED, EEO, OIG, CA | OAPM | 2029 | 2-3 | 942-4079 |
|--------------------|-----------------------|------|------|-----|----------|

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