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# SECURITIES AND EXCHANGE COMMISSION HISTORICAL SOCIETY

1001 PENNSYLVANIA AVENUE, N.W. ■ SUITE 810 SOUTH ■ WASHINGTON, D.C. 20004-2505

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Joel Seligman

A.A. Sommer, Jr.

Stanley Sporkin

July 27, 2001

Mr. Robert J. Birnbaum  
313 Bedford Road  
Ridgewood, New Jersey 07450

Dear Bob:

Thank you for agreeing to participate in the Securities and Exchange Commission Historical Society's oral histories Roundtable on Thursday, October 4, 2001.

The Roundtable will consist of individuals who conducted or were involved in the 1963 Special Study, including, in addition to yourself, Milt Cohen, Art Fleischer, Norm Poser, Sheldon Rappaport, Gene Rotberg, Art Rothkopf, Ralph Saul, Fred Siesel, Dave Silver and Stanley Sporkin. The moderators for the Roundtable will be Irv Pollack and Brandon Becker.

The Roundtable will be held in the William O. Douglas Open Meeting Room (lower level) at the U.S. Securities and Exchange Commission, 450 5<sup>th</sup> Street NW, Washington, D.C. The SEC staff, Congressional staff, and members of the Society will be invited to attend the event. The Roundtable will be both audio and videotaped for the Society's archives and use.

The agenda for the day will be:

- 12:00 noon Luncheon for the Roundtable moderators and participants, hosted by Society, at 701 Restaurant, 701 Pennsylvania Avenue, NW, Washington, D.C.
- 1:45 p.m. Roundtable moderators and participants convene in the William O. Douglas Open Meeting Room at the SEC.
- 2:00-2:05 p.m. Introduction by Alan Levenson, Chair of the Oral Histories Committee of the Society.
- 2:05-2:15 p.m. Welcome by David Ruder, Chairman of the Society.
- 2:15-2:25 p.m. Remarks by Harvey Pitt, SEC Chairman-nominee (to be invited)
- 2:25-3:30 p.m. Roundtable
- 3:30-3:45 p.m. Recess

202-585-6405  
202-585-6404 [fax]  
www.sechistorical.org  
c.rosati@sechistorical.org

3:45-5:00 p.m. Roundtable

Prior to the Roundtable, I would appreciate it if you would review your files relating to the Special Study, including internal correspondence, memos, notes from meetings, newspaper articles and other materials. If you are willing to share copies of any of these materials with the Society prior to the Roundtable, please contact Carla Rosati, executive director of the Society, at 202-585-6405 to make the logistical arrangements.

Please note:

- By September 6<sup>th</sup>, please complete and return the enclosed release form and biographical data form to the Society, in the postage-paid envelope.
- Business attire is appropriate for the Roundtable.
- The Society is prepared to reimburse any travel expenses that you will incur to participate in the Roundtable. Please contact Carla Rosati if you will need assistance with your travel.
- Your spouse is welcome to attend both the luncheon and the Roundtable as the Society's guest.

We are delighted that you will participate in the Roundtable and share your experiences of the Special Study with a new generation of SEC commissioners and staff, Congressional representatives, academicians, and others interested in our capital markets and the work of the SEC. On behalf of the Securities and Exchange Commission Historical Society, thank you for participating and furthering the mission of the Society. With best personal regards.

Sincerely,

Alan B. Levenson  
Chair, Oral Histories Committee

Enclosures: 1) Biographical Form  
2) Interview Release Form  
3) List of Participants in October 4<sup>th</sup> Roundtable

cc: ✓ Professor David S. Ruder, Chairman  
Paul Gonson, President  
Robert J. Kueppers, Secretary, Treasurer

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## Oral Histories Interview Release Form

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I, \_\_\_\_\_, am a participant in the Oral Histories Program of the Securities and Exchange Commission Historical Society (hereinafter "Society"). I understand that the purpose of the Oral Histories Program is to collect 1) audio- and videotaped oral histories of former chairmen, commissioners, staff members of the SEC, as well as lawyers, accountants, historians and people in the securities industry; and 2) selected related documentary materials (such as photographs and manuscripts), that may be deposited in a permanent collection managed by the Society. These materials may be used for scholarly and educational purpose. I understand that the Society plans to retain the product of my participation as part of its collection, and that the materials may be used for exhibition, publication, presentation on the World Wide Web and successor technologies, and for promotion of the Society and its activities in any medium.

I hereby grant to the Society ownership of the physical property delivered to the Society, and the right to use the property that is the product of my participation (for example, my interview, performance, photographs and written materials) as stated above. By giving permission, I understand that I do not give up any copyright or performance rights that I may hold.

I also grant to the Society my absolute and irrevocable consent for any photograph(s) provided by me or taken of me in the course of my participation in the Oral Histories Program to be used, published, and copied by the Society and its assignees in any medium.

I agree that the Society may use my name, video or photographic image or likeness, statements, performance and voice reproduction, or other sound effects without further approval on my part.

I release the Society, and its assignees and designees, from any and all claims and demands arising out of or in connection with the use of such recordings, documents and artifacts, including but not limited to, any claims for defamation, invasion of privacy or right of publicity.

ACCEPTED AND AGREED

Signature \_\_\_\_\_ Date \_\_\_\_\_

Printed Name \_\_\_\_\_

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## Oral Histories Biographical Form

*Please print clearly.*

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A.A. Sommer, Jr.

Stanley Sporkin

Name: \_\_\_\_\_

Current Address: \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_

ZIP Code \_\_\_\_\_

Telephone (\_\_\_\_) \_\_\_\_\_ E-Mail \_\_\_\_\_

Date of Birth \_\_\_\_\_ Place of Birth \_\_\_\_\_

Service at the U.S. Securities and Exchange Commission:

Division \_\_\_\_\_ Dates \_\_\_\_\_

Division \_\_\_\_\_ Dates \_\_\_\_\_

Division \_\_\_\_\_ Dates \_\_\_\_\_

Highest Rank \_\_\_\_\_

Please list any special awards, commendations, etc. from your SEC service:

\_\_\_\_\_  
\_\_\_\_\_

Do you have any letters, papers, photos, etc. from your SEC service which you wish to share with the Society? If yes, please list:

\_\_\_\_\_  
\_\_\_\_\_

Other Government and/or Private Sector Work:

\_\_\_\_\_ Dates \_\_\_\_\_

\_\_\_\_\_ Dates \_\_\_\_\_

\_\_\_\_\_ Dates \_\_\_\_\_

Signature \_\_\_\_\_ Today's Date \_\_\_\_\_

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