



## [Records on the Securities and Exchange Commission and the Securities Investor Protection Corporation](#)

**FOIA Number:** 2015-0316-F

**Scope and Content Note:**

The materials in FOIA 2015-0316-F are a selective, not necessarily all inclusive, body of documents responsive to the topic of the FOIA. Researchers should consult the archivist about related materials. FOIA 2015-0316-F contains materials from agencies and individuals related to the Securities and Exchange Commission (SEC) and the Securities Investor Protection Corporation (SIPC). The SEC is an agency of the federal government. It regulates trading in securities on the national securities exchanges, broker-dealers, and mutual funds. Essentially, it controls the stock market to ensure that the securities market functions in a fair and efficient manner. This regulation provides investors with the confidence that the market functions properly. The Securities Investor Protection Corporation is a nonprofit, membership entity comprised of most US-registered broker-dealers. It is designed to protect the customers of brokers or dealers from loss in case of financial failure of the member. The Bush Presidential White House Office of Records Management (WHORM) Subject File categories and Staff and Office Files contain correspondence tracking coversheets, questionnaires, personal data statements, letters, memoranda, printed materials, news releases, papers, publications, and statements. These documents address SEC membership, proxy rule reform, shareholder rights, proposed legislative actions, SEC requirements and responsibilities, hybrid financial instruments, the National Association of Securities Professionals, bank rules, and executive compensation issues. Other topics include a public utility industry call for comments, proposed shareholder proxy rules changes, temporary risk assessment rules, regulatory reform initiatives, the administration's policy regarding proposed futures trading practices, promotion of small business capital formation, corporate governance, and investment advisor supervision. Publications are "Budget Estimate Fiscal 1991", Senate and House Congressional Records covering discussion of the "Non-Vessel Operating Common Carrier Amendments of 1990", 'Regulatory Reform Initiatives of the Securities and Exchange Commission', Securities Investor Protection Corporation Annual Report 1989, 1990, & 1991', and 'Second Annual International Institute for Securities Market Development.' The Bush Vice Presidential Staff and Office Files contain a correspondence tracking coversheet, regulation review requests, and speaking request letters, a memorandum, printed materials, a news release, papers, publications, a list, and statements. These documents cover VP Bush's acceptance to speak at an SEC Major Issues Conference, commentary on a paper about regulatory burdens, the existing system of Federal regulation of financial institutions and services, the "one-share one-vote" issue, corporate takeover regulations, repeal of the Public Utility Holding Company Act, reporting thresholds for institutional investment managers, a proposal to merge the SEC and the Commodity Futures Trading Commission, and tender offer reform proposals. Also addressed are securities markets, insider trading, banking deregulation, over-the-counter stock market topics, President Reagan's nomination of an SEC member, advance clearance procedures of proxy rules, a private citizen's speech about the Foreign Corrupt Practices Act of 1977, corporate recordkeeping for securities transactions, amendments to the Investment Company Act of 1940, a study of an SEC rule that allows a company to register all securities 2015-0316-F 3 it plans to issue over a two-year period and then sell some or all whenever it chooses, and a significant regulatory relief achievements report. Lastly, there is also information on testimony concerning repeal of the Public Utility Holding Company Act, self-regulatory organizations, Vice President Bush's remarks at the SEC 1984 Major Issues Conference Dinner, mortgage backed securities, and the Bush Task Group Securities and Exchange Commission staff participants. Publications are "SEC Conference on Major Issues Confronting the Nation's Financial Institutions and Markets in the 1980's Proceedings", "Securities and Exchange Commission Annual Report 1983", and "SEC Advisory Committee on Tender Offers -- Report on Recommendations". The Quayle Vice Presidential Staff and Office Files contain letters, a memorandum, printed material, papers, and statements. Topics discussed include corporate governance, antifraud legislation, uniform statute of limitations for private actions brought under the SEC Act of 1934 plus a copy of S. 1533, executive compensation, complaints about the SEC, concerns about various financial transactions, and valuation and disclosure of stock options, and class action securities fraud lawsuits. Other materials cover a draft of legislation regarding attorney contingency fees, study of securities fraud class action lawsuits, the administration's stance on deposit insurance reform and taxpayer protection legislation, statutes of limitation for implied private rights of action and SEC Chairman Richard Breeden's remarks on limiting the cost of securities litigation.

**Processed by:** Staff Archivists, June 2015. Previously restricted materials are added as they are released.

## [Records of the Council of Economic Advisors \(George H. W. Bush Administration\)](#)

### **Michael J. Boskin Correspondence by Agency Files**

#### **Container List**

**Container ID 08080**

[Securities Exchange Commission \[Memorandums and Papers on Various Subjects\]](#)

**NAID:** 492061288

**Local ID:** 08080-026

**Record Type(s):**

Textual Records

**Availability**

On Site

## Michael J. Boskin Meeting Files

### Container List

#### Container ID 08066

[March 1991: 3/19/91 \(10:00 a.m.\) Meeting with Chairman Richard Breeden, Securities and Exchange Commission \[Summary, and letters concerning the Commodity Futures Trading Commission-Securities Exchange Commission Jurisdictional Dispute\]](#)

**NAID:** 492060668

**Local ID:** 08066-017

**Record Type(s):**

Textual Records

**Availability**

On Site

## Richard L. Schmalensee Files

### Container List

#### Container ID 03688

[Securities and Exchange Commission - General](#)

**NAID:** 492059691

**Local ID:** 03688-021

**Record Type(s):**

Textual Records

**Availability**

On Site

## [Records of the White House Office of the Chief of Staff to the President \(George H. W. Bush Administration\)](#)

## John Sununu Issues Files

### Container List

#### Container ID 29164

[Personnel \(1 of 2\) \(1990\) \[5\] : Securities and Exchange Commission](#)

**NAID:** 702460

**Local ID:** 29164-008

**Record Type(s):**

Textual Records

**Availability**

On Site

## [Records of the White House Office of Counsel to the President \(George H. W. Bush Administration\)](#)

### Appointment Files

#### Container List

**Container ID 20104**

[Commissioner John Carter Beese, Jr. Securities Exchange Commission](#)

**NAID:** 492069722

**Local ID:** 20104-044

**Record Type(s):**

Textual Records

**Availability**

On Site

**Container ID 20107**

[Member and Chairman Richard Carroll Breedon Securities Exchange Commission](#)

**NAID:** 492069735

**Local ID:** 20107-004

**Record Type(s):**

Textual Records

**Availability**

On Site

**Container ID 20122**

[Acting Chairman Edward Hirsh Fleischman Securities and Exchange Commission](#)

**NAID:** 492069806

**Local ID:** 20122-037

**Record Type(s):**

Textual Records

**Availability**

On Site

**Container ID 20136**

[Member Philip Raymond Lochner, Jr. Securities and Exchange Commission](#)

**NAID:** 492069881

**Local ID:** 20136-022

**Record Type(s):**

Textual Records

**Availability**

On Site

**Container ID 20145**

[Securities Industry Representative George Harold Pfau, Jr. Board of Directors of the Securities Investor Protection Corporation](#)

**NAID:** 492069925

**Local ID:** 20145-001

**Record Type(s):**

Textual Records

**Availability**

On Site

**Container ID 20147**

[Member James Michael Reum Securities and Exchange Commission](#)

**NAID:** 492069935

**Local ID:** 20147-006

**Record Type(s):**

Textual Records

**Availability**

On Site

[Member Richard Young Roberts Securities and Exchange Commission](#)

**NAID:** 492069941

**Local ID:** 20147-025

**Record Type(s):**

Textual Records

**Availability**

On Site

**Container ID 20149**

[Member Mary Lovelace Schapiro Securities and Exchange Commission](#)

**NAID:** 492069957

**Local ID:** 20149-028

**Record Type(s):**

Textual Records

**Availability**

On Site

**C. Boyden Gray Subject Files**

**Container List**

**Container ID 45081**

[SEC \[Securities and Exchange Commission\]](#)

**NAID:** 492070876

**Local ID:** 45081-004

**Record Type(s):**

Textual Records

**Availability**

On Site

## Container List

### Container ID 20414-1

[\[Binder Clip\]: \[ACC Lincoln Savings Securities Litigation\]](#)

**NAID:** 492070352

**Local ID:** 20414-009

**Record Type(s):**

Textual Records

**Availability**

On Site

## Gene C. Schaerr Shutdown Files

## Container List

### Container ID 45615

[Securities and Exchange Commission](#)

**NAID:** 492074459

**Local ID:** 45615-071

**Record Type(s):**

Textual Records

**Availability**

On Site

## Gene C. Schaerr Subject Files

## Container List

### Container ID 45618

[CFTC \[Commodity Futures Trading Commission\]/SEC \[Securities and Exchange Commission\]](#)

**NAID:** 492074464

**Local ID:** 45618-017

**Record Type(s):**

Textual Records

**Availability**

On Site

[CFTC \[Commodity Futures Trading Commission\]/SEC \[Securities and Exchange Commission\]: CFTC/SEC Spat](#)

**NAID:** 492074465

**Local ID:** 45618-018

**Record Type(s):**

Textual Records

**Availability**

On Site

### Container ID 45634

[Securities Regulation Reforms](#)

**NAID:** 492074582

**Local ID:** 45634-017

**Record Type(s):**

Textual Records

**Availability**

On Site

**Container ID 45635**

[SEC \[Securities and Exchange Commission\] Investment Act Proposal](#)

**NAID:** 492074587

**Local ID:** 45635-011

**Record Type(s):**

Textual Records

**Availability**

On Site

**Container ID 45636**

[Securities Matters \[1\]](#)

**NAID:** 492074588

**Local ID:** 45636-002

**Record Type(s):**

Textual Records

**Availability**

On Site

[Securities Matters \[2\]](#)

**NAID:** 492074589

**Local ID:** 45636-003

**Record Type(s):**

Textual Records

**Availability**

On Site

[Securities Matters: Executive Compensation](#)

**NAID:** 492074590

**Local ID:** 45636-004

**Record Type(s):**

Textual Records

**Availability**

On Site

**John Schmitz Alphabetical Subject Files**

**Container List**

**Container ID 45695**

[SEC \[United States Securities and Exchange Commission\]/CFTC \[Commodity Futures Trading Commission\]](#)

**NAID:** 492074816

**Local ID:** 45695-003

**Record Type(s):**

Textual Records

**Availability**  
On Site

## Mary Beth Riordan Subject Files

### Container List

#### Container ID 45644

[Regulatory Reform Initiatives of the SEC \[Securities and Exchange Commission\]](#)

**NAID:** 492074616

**Local ID:** 45644-001

**Record Type(s):**

Textual Records

**Availability**

On Site

## [Records of the White House Office of Intergovernmental Affairs \(George H. W. Bush Administration\)](#)

## Cliff Alderman Subject Files

### Container List

#### Container ID 05945

[Securities Regulation](#)

**NAID:** 503119052

**Local ID:** 05945-006

**Record Type(s):**

Textual Records

**Availability**

On Site

## [Records of the White House Office of Issues Analysis](#)

## Richard Breeden Subject Files

### Container List

#### Container ID 02056

[Bank Securities Registration and Administration Act](#)

**NAID:** 486209124

**Local ID:** 02056-006

**Record Type(s):**

Textual Records

**Availability**

On Site

## [Records of the White House Office of Legislative Affairs \(George H. W. Bush](#)

## [Administration\)](#)

### Nicholas Calio Transition Files

#### Container List

##### Container ID 00055

[Securities and Exchange Commission \(SEC\)](#)

**NAID:** 486208975

**Local ID:** 00055-052

**Record Type(s):**

Textual Records

**Availability**

On Site

### Working Files

#### Container List

##### Container ID 08631

[Securities & Exchange Commission](#)

**NAID:** 486209551

**Local ID:** 08631-036

**Record Type(s):**

Textual Records

**Availability**

On Site

## [Records of the White House Office of Presidential Personnel \(George H. W. Bush Administration\)](#)

### Anne B. Gwaltney Subject Files

#### Container List

##### Container ID 07096

[Monie Ryder: Securities and Exchange Commission](#)

**NAID:** 503124151

**Local ID:** 07096-011

**Record Type(s):**

Textual Records

**Availability**

On Site

### Katja Bullock Appointment Files

#### Container List

##### Container ID 07090

[Lochner, Philip Raymond Jr. - Securities Exchange Comm. - MBR Securities and Exchange Comm. 450 5th St. NW Washington, DC 20549 AGY](#)

**NAID:** 503124120

**Local ID:** 07090-041

**Record Type(s):**

Textual Records

**Availability**

On Site

### Container ID 07220

[Schapiro, Mary Lovelace - Securities Exchange Comm - MBR \[Member\] Securities and Exchange Comm. 450 5th St. NW Washington, DC 20549 AGY](#)

**NAID:** 503124170

**Local ID:** 07220-091

**Record Type(s):**

Textual Records

**Availability**

On Site

### Container ID 07221

[Skinner, Samuel - Dept. of Transportation SEC \[Securities and Exchange Commission\]](#)

**NAID:** 503124176

**Local ID:** 07221-006

**Record Type(s):**

Textual Records

**Availability**

On Site

## [Records of the White House Office of Public Liaison \(George H. W. Bush Administration\)](#)

### James Schaefer Subject Files

#### Container List

##### Container ID 07542

[Securities and Exchange Commission Briefing for Chief Finance Ministers 4/2/92](#)

**NAID:** 486212477

**Local ID:** 07542-024

**Record Type(s):**

Textual Records

**Availability**

On Site

### Jeff Vogt Subject Files

#### Container List

##### Container ID 04726

**NAID:** 486211225  
**Local ID:** 04726-011  
**Record Type(s):**  
Textual Records  
**Availability**  
On Site

## [Records of the Counsellor's Office of the Vice President \(Reagan Administration\)](#)

### C. Boyden Gray Files

#### Container List

##### Container ID 15149

[SEC \[Securities and Exchange Commission\] \[1\]](#)

**NAID:** 508811063  
**Local ID:** 15149-001  
**Record Type(s):**  
Textual Records  
**Availability**  
On Site

[SEC \[Securities and Exchange Commission\] \[2\]](#)

**NAID:** 508811106  
**Local ID:** 15149-002  
**Record Type(s):**  
Textual Records  
**Availability**  
On Site

[SEC \[Securities and Exchange Commission\] \[3\]](#)

**NAID:** 508811145  
**Local ID:** 15149-003  
**Record Type(s):**  
Textual Records  
**Availability**  
On Site

[SEC \[Securities and Exchange Commission\] \[4\]](#)

**NAID:** 508811187  
**Local ID:** 15149-004  
**Record Type(s):**  
Textual Records  
**Availability**  
On Site

[SEC \[Securities and Exchange Commission\] \[5\]](#)

**NAID:** 508811228  
**Local ID:** 15149-005  
**Record Type(s):**

Textual Records

**Availability**

On Site

[SEC \[Securities and Exchange Commission\] \[6\]](#)

**NAID:** 508811265

**Local ID:** 15149-006

**Record Type(s):**

Textual Records

**Availability**

On Site

## C. Boyden Gray Press Clippings Files

### Container List

**Container ID 15196**

[SEC \[Securities and Exchange Commission\] 1987-\[19\]88](#)

**NAID:** 508818770

**Local ID:** 15196-008

**Record Type(s):**

Textual Records

**Availability**

On Site

## John Schmitz Files

### Container List

**Container ID 15208**

[VP \[Vice President\] Banking Bill: SEC \[Securities and Exchange Commission\] Comments](#)

**NAID:** 508819646

**Local ID:** 15208-022

**Record Type(s):**

Textual Records

**Availability**

On Site

## [Records of the Office of Operations, Administration, and Staff Secretary of the Vice President \(Reagan Administration\)](#)

## Thomas J. Collamore Personnel Files

### Container List

**Container ID 14430**

[Securities and Exchange Commission](#)

**NAID:** 508471759

**Local ID:** 14430-097

**Record Type(s):**

Textual Records

**Availability**

On Site

## [Records of the Press Office of the Vice President \(Reagan Administration\)](#)

### Speechwriter Speech Files

#### Container List

**Container ID 14857**

[6/28/84 Securities and Exchange Commission \(SEC\) 1984 Major Issues Conference](#)

**NAID:** 518586527

**Local ID:** 14857-017

**Record Type(s):**

Textual Records

**Availability**

On Site

**Container ID 14862**

[\[6/28/84 Securities and Exchange Commissions 1984 Major Issues Conference Dinner, Washington, D.C.\]](#)

**NAID:** 518586577

**Local ID:** 14862-043

**Record Type(s):**

Textual Records

**Availability**

On Site

## [Records of the Task Force on Regulatory Relief \(Reagan Administration\)](#)

### Agency Recommendation Summary Files

#### Container List

**Container ID 15072**

[Summary of Recommendations by Agency - Securities and Exchange Commission \(SEC\)](#)

**NAID:** 509515117

**Local ID:** 15072-017

**Record Type(s):**

Textual Records

**Availability**

On Site

### Final Agency Report Files

#### Container List

**Container ID 15065**

[\[Independent Agencies Final Report - Securities and Exchange Commission\]](#)

**NAID:** 509514320  
**Local ID:** 15065-021  
**Record Type(s):**  
Textual Records  
**Availability**  
On Site

## Organization Files

### Container List

#### Container ID 15018

[Securities Industry Association 132](#)

**NAID:** 509513410  
**Local ID:** 15018-129  
**Record Type(s):**  
Textual Records  
**Availability**  
On Site

## Richard C. Breeden Files

### Container List

#### Container ID 15113

[Securities \[&\] Exchange Commission](#)

**NAID:** 509516715  
**Local ID:** 15113-012  
**Record Type(s):**  
Textual Records  
**Availability**  
On Site

#### Container ID 15115

[Bank Securities Activities](#)

**NAID:** 509516716  
**Local ID:** 15115-016  
**Record Type(s):**  
Textual Records  
**Availability**  
On Site

#### Container ID 15125

[SEC \[Securities and Exchange Commission\] Insider Trading](#)

**NAID:** 509518987  
**Local ID:** 15125-021  
**Record Type(s):**

Textual Records

**Availability**

On Site

[SEC \[Securities and Exchange Commission\] Newsletters/Regulations](#)

**NAID:** 509518988

**Local ID:** 15125-022

**Record Type(s):**

Textual Records

**Availability**

On Site

[SEC \[Securities and Exchange Commission\] Request for Comments](#)

**NAID:** 509518989

**Local ID:** 15125-023

**Record Type(s):**

Textual Records

**Availability**

On Site

[SEC \[Securities and Exchange Commission\] 1940 Act](#)

**NAID:** 509518990

**Local ID:** 15125-024

**Record Type(s):**

Textual Records

**Availability**

On Site

[SEC \[Securities and Exchange Commission\] 1940 Act - Unitary Trusts](#)

**NAID:** 509519085

**Local ID:** 15125-025

**Record Type(s):**

Textual Records

**Availability**

On Site

[Task Group Sec \[SEC – Securities and Exchange Commission\] Comments \[1\]](#)

**NAID:** 509519175

**Local ID:** 15125-026

**Record Type(s):**

Textual Records

**Availability**

On Site

[Task Group Sec \[SEC – Securities and Exchange Commission\] Comments \[2\]](#)

**NAID:** 509519284

**Local ID:** 15125-027

**Record Type(s):**

Textual Records

**Availability**

On Site

[Task Group Sec \[SEC – Securities and Exchange Commission\] Comments \[3\]](#)

**NAID:** 509519419  
**Local ID:** 15125-028  
**Record Type(s):**  
Textual Records  
**Availability**  
On Site

[Task Group Sec \[SEC – Securities and Exchange Commission\] Comments \[4\]](#)

**NAID:** 509519619  
**Local ID:** 15125-029  
**Record Type(s):**  
Textual Records  
**Availability**  
On Site

[Task Group Sec \[SEC – Securities and Exchange Commission\] Comments \[5\]](#)

**NAID:** 509519731  
**Local ID:** 15125-030  
**Record Type(s):**  
Textual Records  
**Availability**  
On Site

[Task Group Sec \[SEC – Securities and Exchange Commission\] Comments \[6\]](#)

**NAID:** 509519912  
**Local ID:** 15125-031  
**Record Type(s):**  
Textual Records  
**Availability**  
On Site

[Task Group Sec \[SEC – Securities and Exchange Commission\] Comments \[7\]](#)

**NAID:** 509520042  
**Local ID:** 15125-032  
**Record Type(s):**  
Textual Records  
**Availability**  
On Site

**Container ID 15126**

[Mortgage Backed Securities](#)

**NAID:** 509520104  
**Local ID:** 15126-014  
**Record Type(s):**  
Textual Records  
**Availability**  
On Site

[NASD \[National Association of Securities Dealers\]](#)

**NAID:** 509520157  
**Local ID:** 15126-015  
**Record Type(s):**

Textual Records

**Availability**

On Site

[National Association of Securities Dealers - OTC \[Over-the-Counter\] Margin](#)

**NAID:** 509520209

**Local ID:** 15126-016

**Record Type(s):**

Textual Records

**Availability**

On Site

[Securities and Exchange Commission \[1\]](#)

**NAID:** 509520319

**Local ID:** 15126-022

**Record Type(s):**

Textual Records

**Availability**

On Site

[Securities and Exchange Commission \[2\]](#)

**NAID:** 509520373

**Local ID:** 15126-023

**Record Type(s):**

Textual Records

**Availability**

On Site

[Securities and Exchange Commission \[3\]](#)

**NAID:** 509520429

**Local ID:** 15126-024

**Record Type(s):**

Textual Records

**Availability**

On Site

[Securities and Exchange Commission \[4\]](#)

**NAID:** 509520486

**Local ID:** 15126-025

**Record Type(s):**

Textual Records

**Availability**

On Site

[Securities and Exchange Commission \[5\]](#)

**NAID:** 509520545

**Local ID:** 15126-026

**Record Type(s):**

Textual Records

**Availability**

On Site

## [Records of the Office of Scheduling of the Vice President \(Reagan Administration\)](#)

### Daniel Sullivan and Jennifer Fitzgerald Files

#### Container List

##### Container ID 14676

[Address - Securities and Exchange Commission's \(SEC\) Conference 6/28/84 \[Washington, DC\] \[1\]](#)

**NAID:** 508654692

**Local ID:** 14676-092

**Record Type(s):**

Textual Records

**Availability**

On Site

[Address - Securities and Exchange Commission's \(SEC\) Conference 6/28/84 \[Washington, DC\] \[2\]](#)

**NAID:** 508654693

**Local ID:** 14676-093

**Record Type(s):**

Textual Records

**Availability**

On Site

## [Records of the Administration Office of the Vice President \(George H. W. Bush Administration\)](#)

### Les Novitsky Administrative Files

#### Container List

##### Container ID 22372

[SEC \[Securities and Exchange Commission\]](#)

**NAID:** 518588218

**Local ID:** 22372-003

**Record Type(s):**

Textual Records

**Availability**

On Site

## [Records of the Office of Domestic Policy and the Council on Competitiveness \(George H. W. Bush Administration\)](#)

### James Gattuso General Files

#### Container List

##### Container ID 22265

[Bryan Bill/securities fraud \[1\]](#)

**NAID:** 518601893

**Local ID:** 22265-007

**Record Type(s):**

Textual Records

**Availability**

On Site

[Bryan Bill/securities fraud \[2\]](#)

**NAID:** 518601894

**Local ID:** 22265-008

**Record Type(s):**

Textual Records

**Availability**

On Site

[Bryan Bill/securities fraud \[3\]](#)

**NAID:** 518601895

**Local ID:** 22265-009

**Record Type(s):**

Textual Records

**Availability**

On Site

## [Records of the Vice President's Legal Counsel's Office \(George H. W. Bush Administration\)](#)

### John Howard Freedom of Information Act (FOIA) Files

#### Container List

##### Container ID 22343

[Securities and Exchange Commission 1986-1988 \[1\]](#)

**NAID:** 518602214

**Local ID:** 22343-013

**Record Type(s):**

Textual Records

**Availability**

On Site

[Securities and Exchange Commission 1986-1988 \[2\]](#)

**NAID:** 518602215

**Local ID:** 22343-014

**Record Type(s):**

Textual Records

**Availability**

On Site

### Llewellyn Fischer Subject Files

#### Container List

##### Container ID 22207

[Securities and Exchange Commission](#)

**NAID:** 518602093

**Local ID:** 22207-015

**Record Type(s):**

Textual Records

**Availability**

On Site

[Records of the White House Office of Records Management \(George H.W. Bush Administration\)](#)

Subject Files on Securities and Exchange Commission

Container List

Container ID N/A

[FG249 Case Number 015760CU Scanned](#)

**NAID:** 607951826

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Number 039210CU Scanned](#)

**NAID:** 607951828

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Number 053548 Scanned](#)

**NAID:** 607951831

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Number 056035CU Scanned](#)

**NAID:** 607951832

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Number 056044CU Scanned](#)

**NAID:** 607951833

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Number 061006 Scanned](#)

**NAID:** 607951835

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Number 065255 Scanned](#)

**NAID:** 607951837

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Number 132169 Scanned](#)

**NAID:** 607951840

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Number 252310 Scanned](#)

**NAID:** 607951844

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Number 279900CU Scanned](#)

**NAID:** 607951847

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Number 325594 Scanned](#)

**NAID:** 607951852

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 001561 to 008998 Scanned](#)

**NAID:** 607951825

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 005498 to 051930 Unscanned](#)

**NAID:** 607951854

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 018716 to 037032CU Scanned](#)

**NAID:** 607951827

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 039776CU to 040364CU Scanned](#)

**NAID:** 607951829

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 042111 to 053397 Scanned](#)

**NAID:** 607951830

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 053397 to 065429 Unscanned](#)

**NAID:** 607951855

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 056551CU to 057457 Scanned](#)

**NAID:** 607951834

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 062672 to 063558 Scanned](#)

**NAID:** 607951836

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 070545CU to 073681 Scanned](#)

**NAID:** 607951838

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 071029 to 088417 Unscanned](#)

**NAID:** 607951856

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 074906 to 131329 Scanned](#)

**NAID:** 607951839

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 090421 to 132340 Unscanned](#)

**NAID:** 607951857

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 140271CU to 153714CU Scanned](#)

**NAID:** 607951841

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 154163SS to 194657CU Scanned](#)

**NAID:** 607951842

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 194657CU to 249318 Scanned](#)

**NAID:** 607951843

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 258965 to 265065CU Scanned](#)

**NAID:** 607951845

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 268621 to 279717SS Scanned](#)

**NAID:** 607951846

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 280391CU to 309257CU Scanned](#)

**NAID:** 607951848

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 309295CU to 321920 Scanned](#)

**NAID:** 607951849

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 322014CU to 325189 Scanned](#)

**NAID:** 607951850

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 325271 to 325515CU Scanned](#)

**NAID:** 607951851

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 325769 to 364771 Scanned](#)

**NAID:** 607951853

**Record Type(s):**

Textual Records

**Availability**

On Site

[FG249 Case Numbers 326457 to 355455CU Unscanned](#)

**NAID:** 607951858

**Record Type(s):**

Textual Records

**Availability**

On Site

**Subject Files on Securities and Protection Corporation (SIPC)**

**Container List**

**Container ID N/A**

[FG250 Case Numbers 038769CU to 258259 Scanned](#)

**NAID:** 607951859

**Record Type(s):**

Textual Records

**Availability**

On Site

**[FG250 Case Numbers 092416 to 224172 Unscanned](#)**

**NAID:** 607951861

**Record Type(s):**

Textual Records

**Availability**

On Site

**[FG250 Case Numbers 281819SS to 358209SS Scanned](#)**

**NAID:** 607951860

**Record Type(s):**

Textual Records

**Availability**

On Site