

OFFICE OF GENERAL COUNSEL

GENERAL COUNSEL.....	SIMON M. LORNE.....	6063	6-6	942-0900
SECRETARY TO THE GENERAL COUNSEL.....	RAE ROACH.....	6077	6-6	942-0900
SPECIAL COUNSEL TO THE GENERAL COUNSEL AND ASSISTANT GENERAL COUNSEL FOR MANAGEMENT.....	ALLAN A. CAPUTE.....	6066	6-6	942-0901
ADMINISTRATIVE OFFICER.....	VIVIAN A. FORSTER.....	6077	6-6	942-0851
FAX.....		6077	6-6	272-2479

LITIGATION, ETHICS AND ADMINISTRATIVE PRACTICE

OFFICE OF THE SOLICITOR AND DEPUTY GENERAL COUNSEL

SOLICITOR AND DEPUTY GENERAL COUNSEL.....	PAUL GONSON.....	6069	6-6	942-0910
SENIOR LITIGATION COUNSEL.....		6125	6-6	
ETHICS COUNSEL.....	LYN BLATCH.....	8109	6-6	942-0970
ASSISTANT ETHICS COUNSEL.....	AUDREY C. BREDHOFF.....	8106	6-6	942-0970
ASSISTANT ETHICS COUNSEL.....	VIRGINIA CANTER.....	8101	6-6	942-0970
ASSISTANT ETHICS COUNSEL.....	BARBARA B. HANNIGAN.....	6005	6-6	942-0970
ASSISTANT ETHICS COUNSEL.....	WILLIAM LENOX.....	8104	6-6	942-0970

OFFICE OF THE ASSOCIATE GENERAL COUNSEL FOR APPELLATE LITIGATION AND BANKRUPTCY

ASSOCIATE GENERAL COUNSEL FOR APPELLATE LITIGATION AND BANKRUPTCY.....	JACOB H. STILLMAN.....	6078	6-6	942-0930
PRINCIPAL ASSISTANT GENERAL COUNSEL.....	ERIC SUMMERGRAD.....	6101	6-6	942-0911
ASSISTANT GENERAL COUNSEL (BANKRUPTCY AND APPELLATE LITIGATION).....	KATHARINE GRESHAM.....	6097	6-6	942-0810
BANKRUPTCY COUNSEL.....	MICHAEL A. BERMAN.....	6119	6-6	942-0810
SENIOR LITIGATION COUNSEL.....	LESLIE E. SMITH.....	6128	6-6	942-0944
ASSISTANT GENERAL COUNSEL (APPELLATE LITIGATION).....	BRIAN BELLARDO.....	6117	6-6	942-0820
SENIOR LITIGATION COUNSEL.....	BRIAN F. MCNALLY.....	6100	6-6	942-0912
ASSISTANT GENERAL COUNSEL (APPELLATE LITIGATION).....	LUCINDA MCCONATHY.....	6113	6-6	942-0904
SENIOR LITIGATION COUNSEL.....	RANDALL QUINN.....	6125	6-6	942-0933
SPECIAL COUNSEL.....	SUSAN S. McDONALD.....	6124	6-6	942-0906

OFFICE OF THE ASSOCIATE GENERAL COUNSEL FOR LITIGATION AND ADMINISTRATIVE PRACTICE

ASSOCIATE GENERAL COUNSEL FOR LITIGATION AND ADMINISTRATIVE PRACTICE.....	RICHARD M. HUMES.....	7049	6-6	942-0940
ASSISTANT GENERAL COUNSEL (LITIGATION AND ADMINISTRATIVE PRACTICE).....	SUSAN A. YASHAR.....	7051	6-6	942-0840
SPECIAL TRIAL COUNSEL.....		7047	6-6	
SPECIAL COUNSEL.....		7052	6-6	942-0914
ASSISTANT GENERAL COUNSEL (LITIGATION AND ADMINISTRATIVE PRACTICE).....	JAMES A. BRIGAGLIANO.....	7062	6-6	942-0826
SPECIAL TRIAL COUNSEL.....		7131	6-6	942-0835
SPECIAL TRIAL COUNSEL.....	LINDA B. STIRLING.....	7065	6-6	942-0952
ASSISTANT GENERAL COUNSEL (CONTRACTING AND LEASING).....	GEORGE C. BROWN.....	7057	6-6	942-0828
SPECIAL COUNSEL.....	GARY ALLEN.....	7132	6-6	942-0812
SPECIAL COUNSEL.....	ILENE F. CITRIN.....	7063	6-6	272-0841

OFFICE OF GENERAL COUNSEL (CONTINUED)

LEGAL POLICY

OFFICE OF THE DEPUTY GENERAL COUNSEL FOR LEGAL POLICY

DEPUTY GENERAL COUNSEL FOR LEGAL POLICY.....PHILLIP D. PARKER.....6084 6-6 942-0920

ASSISTANT GENERAL COUNSEL (INTERNATIONAL
LITIGATION AND POLICY).....WALTER B. STAHR.....6134 6-6 942-0888
SENIOR ADVISOR.....6140 6-6
ATTORNEY-FELLOW.....JOHN W. AVERY.....6131 6-6 942-0816
SPECIAL COUNSEL.....C. HUNTER JONES.....6142 6-6 942-0877

ASSISTANT GENERAL COUNSEL (LEGISLATION
AND FINANCIAL SERVICES).....KAREN BUCK BURGESS.....6144 6-6 942-0999
SENIOR SPECIAL COUNSEL.....MIRIAM J. GOLDSTEIN.....6148 6-6 942-0861

OFFICE OF THE ASSOCIATE GENERAL COUNSEL
FOR COUNSELING AND REGULATORY POLICY

ASSOCIATE GENERAL COUNSEL
FOR COUNSELING AND REGULATORY POLICY.....DIANE SANGER.....6167 6-6 942-0960

ASSISTANT GENERAL COUNSEL (INVESTMENT MANAGE-
MENT, PUHCA AND ADMIN. LAW).....DANIEL O. HIRSCH.....6134 6-6 942-0870
SENIOR SPECIAL COUNSEL.....JOSEPH PRICE.....6137 6-6 942-0932

ASSISTANT GENERAL COUNSEL (MARKET REGULATION).....JOSEPH FRANCO.....6173 6-6 942-0880
SPECIAL COUNSEL.....6175 6-6 942-0915

ASSISTANT GENERAL COUNSEL (CORPORATION
FINANCE AND ACCOUNTING)..... 6-6
SENIOR SPECIAL COUNSEL.....RICHARD A. LEVINE.....6064 6-6 942-0890
SPECIAL COUNSEL.....MEREDITH MITCHELL.....6169 6-6 942-0916

ADJUDICATION

OFFICE OF THE ASSOCIATE GENERAL COUNSEL FOR ADJUDICATION

ASSOCIATE GENERAL COUNSEL
FOR ADJUDICATION.....ANNE E. CHAFER.....6033 6-6 942-0950
SENIOR SPECIAL COUNSEL.....EVA MARIE CARNEY.....6042-A 6-6 942-0838

ASSISTANT GENERAL COUNSEL (ADJUDICATION).....6042-B 6-3 942-0980
SENIOR SPECIAL COUNSEL.....JOAN A. MCCARTHY.....6044 6-6 942-0980

ASSISTANT GENERAL COUNSEL (ADJUDICATION).....JOAN L. LOIZEAUX.....6027 6-3 942-0990
SENIOR SPECIAL COUNSEL.....R. MOSHE SIMON.....6022 6-6 942-0942
SPECIAL COUNSEL.....MARTHA H. MCNEELY.....6042B 6-6 942-0913

COUNSELOR FOR ADJUDICATION.....WILLIAM S. STERN.....6075 6-6 942-0949
DEPUTY ASSOCIATE GENERAL COUNSEL.....HERBERT V. EFRON.....7143 6-3 942-0848

DIVISION OF CORPORATION FINANCE

DIRECTOR	LINDA C. QUINN	3000	3-1	942-2800
SECRETARY TO THE DIRECTOR.....	MELISSA L. KIMPS.....	3010	3-1	942-2801
SENIOR LEGAL ADVISER TO THE DIRECTOR.....	DAVID A. SIRIGNANO.....	3018	3-1	942-2870
DEPUTY DIRECTOR.....	ELISSE B. WALTER.....	3009	3-1	942-2810
SENIOR ASSOCIATE DIRECTOR (DISCLOSURE OPERATIONS).....	WILLIAM E. MORLEY.....	3005	3-1	942-2820
ASSOCIATE DIRECTOR (REGULATORY POLICY).....	MAURI L. OSHEROFF.....	3006	3-1	942-2840
ASSOCIATE DIRECTOR (CHIEF COUNSEL - LEGAL).....	ABIGAIL ARMS.....	3021	3-1	942-2890
ASSOCIATE DIRECTOR (CHIEF ACCOUNTANT).....	ROBERT A. BAYLESS.....	3202	3-13	942-2850
ASSOCIATE DIRECTOR (ACCOUNTING OPERATIONS).....	TERESA E. IANNAONI.....	3200	3-13	942-2860
ASSOCIATE DIRECTOR (OPERATIONS).....	HOWARD F. MORIN.....	3002	3-1	942-2830
ASSOCIATE DIRECTOR (SMALL BUSINESS AND INTERNATIONAL CORPORATION FINANCE).....	MEREDITH B. CROSS.....	3198	3-1	942-2880
CHIEF MANAGEMENT ANALYST.....	HERBERT D. SCHOLL.....	3001	3-1	942-2930
SPECIAL COUNSEL.....	JOHN S. BERNAS.....	3098	3-7	942-2915
ADMINISTRATIVE OFFICER.....	MADLINE BOOKER.....	3017	3-1	942-2809
FAX.....				272-2677

ASSISTANT DIRECTORS AND BRANCHES OF CORPORATE ANALYSIS AND EXAMINATION

ASSISTANT DIRECTOR.....	A. RICHARD TOW.....	3167	3-11	942-1760
BRANCH CHIEF (BRANCH 1).....	WILLIAM C-L FRIAR.....	3173	3-11	942-1770
BRANCH CHIEF (BRANCH 2).....	TODD SCHIFFMAN.....	3164	3-11	942-1780
ASSISTANT DIRECTOR.....	JAMES M. DALY.....	3134	3-10	942-1800
BRANCH CHIEF (BRANCH 3).....	JEFFREY P. RIEDLER.....	3144	3-10	942-1810
BRANCH CHIEF (BRANCH 4).....	LETTY G. LYNN.....	3140	3-10	942-1820
ASSISTANT DIRECTOR.....	SHELLEY E. PARRATT.....	7156	7-6	942-1840
BRANCH CHIEF (BRANCH 5).....	PATRICIA A. CURRENT.....	7167	7-6	942-1850
BRANCH CHIEF (BRANCH 6).....	JOHN F. MURPHY.....	7164	7-6	942-1860
ASSISTANT DIRECTOR.....	H. CHRISTOPHER OWINGS.....	7081	3-5	942-1900
BRANCH CHIEF (BRANCH 7).....	H. ROGER SCHWALL.....	7067	3-5	942-1880
BRANCH CHIEF (BRANCH 8).....	CHARLES C. LEBER.....	7074	3-5	942-1890
ASSISTANT DIRECTOR.....	STEVEN C. DUVALL.....	3072	3-5	942-1950
BRANCH CHIEF (BRANCH 9).....	TERRY E. HATFIELD.....	3075	3-5	942-1920
BRANCH CHIEF (BRANCH 10).....	ROBERT F. BARTELMES.....	3078	3-5	942-1930
ASSISTANT DIRECTOR.....	JOHN C. ROYCROFT.....	7027	7-6	942-1960
BRANCH CHIEF (BRANCH 11).....	CHARLES A. SJOQUIST.....	7024	7-6	942-1970
BRANCH CHIEF (BRANCH 12).....	GREGORY HAIR.....	7030	7-6	942-1990

OFFICE OF CHIEF ACCOUNTANT

DEPUTY CHIEF ACCOUNTANT.....	WAYNE E. CARNALL.....	3185	3-13	942-2960
ASSOCIATE CHIEF ACCOUNTANT.....	JOSEPH S. ALEKNAVAGE.....	3188	3-13	942-2960
ASSOCIATE CHIEF ACCOUNTANT.....	CRAIG C. GLINGER.....	3179	3-13	942-2960
ASSOCIATE CHIEF ACCOUNTANT.....	DOUGLAS G. TANNER.....	3176	3-13	942-2960
ASSOCIATE CHIEF ACCOUNTANT.....	KURT R. HOHL.....	3182	3-13	942-2960

OFFICE OF CHIEF COUNSEL

CHIEF COUNSEL.....	MARTIN DUNN.....	3027	3-3	942-2900
DEPUTY CHIEF COUNSEL.....		3069	3-3	942-2900
SPECIAL COUNSEL.....	CECILIA D. BLYE.....	3033	3-3	942-2900
SPECIAL COUNSEL.....	WILLIAM H. CARTER.....	3030	3-3	942-2900
SPECIAL COUNSEL.....	ANNE M. KRAUSKOPF.....	3056	3-3	942-2900
SPECIAL COUNSEL.....	AMY S. BOWERMAN.....	3060	3-3	942-2900
SPECIAL COUNSEL.....	MICHAEL MITCHELL.....	3063	3-3	942-2900
SPECIAL COUNSEL.....	MARK W. GREEN.....	3066	3-3	942-2900
SPECIAL COUNSEL.....	ANITA T. KLEIN.....	3081	3-3	942-2900

DIVISION OF CORPORATION FINANCE (CONTINUED)

OFFICE OF TENDER OFFERS

CHIEF.....	GREGG W. CORSO.....	3044	3-4	942-2920
DEPUTY CHIEF.....	GERALD J. MACARLANE.....	3052	3-4	942-2920
SPECIAL COUNSEL.....	L. JACOB FIEN-HELPMAN.....	3048	3-4	942-2920

OFFICE OF ENFORCEMENT LIAISON

CHIEF.....	ANN D. WALLACE.....	3040	3-2	942-2980
SPECIAL COUNSEL.....		3036	3-2	942-2980

OFFICE OF DISCLOSURE POLICY

CHIEF.....	BARBARA SMITH JACOBS.....	3195	3-12	942-2910
DEPUTY CHIEF.....		3182	3-12	942-2910
SPECIAL COUNSEL.....	JAMES R. BUDGE.....	3196	3-12	942-2910
SPECIAL COUNSEL.....	ELIZABETH MURPHY.....	3189	3-12	942-2910

OFFICE OF INTERNATIONAL CORPORATE FINANCE

CHIEF.....	PAUL DUDEK.....	3116	3-9	942-2990
DEPUTY CHIEF.....		3113	3-9	942-2990
SPECIAL COUNSEL.....	SANDRA FOLSOM.....	3122	3-9	942-2990
SPECIAL COUNSEL.....		3125	3-9	942-2990
SPECIAL COUNSEL.....	MICHAEL HYATTE.....	3110	3-9	942-2990
SPECIAL COUNSEL.....	LUIS WELBY.....	3113	3-9	942-2990

OFFICE OF ENGINEERING

CHIEF.....	AUSTIN L. BYERS.....	3094	3-7	942-2970
MINING ENGINEER.....	CARLOS A. CHAVEZ.....	3095	3-7	942-2970

OFFICE OF SMALL BUSINESS POLICY

CHIEF.....	RICHARD K. WULFF.....	7204	7-8	942-2950
DEPUTY CHIEF.....	WILLIAM E. TOOMEY.....	7203	7-8	942-2950

PILOT PROJECT (EDGAR)

ASSISTANT DIRECTOR.....	JOHN C. ROYCROFT.....	7027	7-2	942-1960
BRANCH CHIEF.....	CHARLES A. SJOQUIST.....	7024	7-2	942-1970

OFFICE OF ASSISTANT DIRECTOR - CF EDGAR POLICY

ASSISTANT DIRECTOR.....	SYLVIA J. REIS.....	3107	3-8	942-2940
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BRANCH OF RESEARCH AND DEVELOPMENT

BRANCH CHIEF.....	RUBEN GECHTER.....	3103	3-8	942-2942
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BRANCH OF ANALYTICAL SERVICES

BRANCH CHIEF.....	KATIE C. NIX.....	3102	3-8	942-2935
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DIVISION OF ENFORCEMENT

FAX (Director) : 9-1-202-272-7288
 FAX (4th Floor North): 9-1-202-272-3636
 FAX (4th Floor South): 9-1-202-504-2844
 FAX (5th Floor South): 9-1-202-272-7936

OFFICE OF THE DIRECTOR

DIRECTOR.....	WILLIAM R. MCLUCAS.....	4000	4-1	942-4500
FAX.....				272-7288
SECRETARY TO THE DIRECTOR.....	SHEILA A. RUSSELL.....	4010	4-1	942-4500
SUPERVISOR PROGRAM ANALYST.....	CHARLES C. STAIGER.....	4014	4-1	942-4802
ADMINISTRATIVE OFFICER.....	HILDA E. LUCAS.....	4017	4-1	942-4696

DEPUTY DIRECTOR

DEPUTY DIRECTOR.....	COLLEEN P. MAHONEY.....	4002	4-1	942-4540
OFFICE OF ASSISTANT DIRECTOR NO. 5.....				942-4542
ASSISTANT DIRECTOR.....	LAURA R. SINGER.....	4108	4-5	942-4749
BRANCH CHIEF.....	YURI B. ZELINSKY.....	4110	4-5	942-4846
BRANCH CHIEF.....	W. ERIC GALLINEK.....	4113	4-5	942-4609
OFFICE OF ASSISTANT DIRECTOR NO. 7.....				942-4543
ASSISTANT DIRECTOR.....	PAUL V. GERLACH.....	4144	4-6	942-4615
BRANCH CHIEF.....		4134	4-6	942-4694
BRANCH CHIEF.....	LAURA B. JOSEPHS.....	4148	4-6	942-4865
OFFICE OF ASSISTANT DIRECTOR NO. 1.....				942-4541
ASSISTANT DIRECTOR.....	JULIE K. LUTZ.....	4164	4-7	942-4697
BRANCH CHIEF.....	YOLANDA L. ROSS.....	4022	4-7	942-4771
BRANCH CHIEF.....	JONATHAN I. GOLOMB.....	4160	4-7	942-4626

OFFICE OF ASSOCIATE DIRECTOR

ASSOCIATE DIRECTOR.....	THOMAS C. NEWKIRK.....	4006	4-1	942-4550
OFFICE OF ASSISTANT DIRECTOR NO. 2.....				942-4551
ASSISTANT DIRECTOR.....	JAMES T. COFFMAN.....	8144	8-1	942-4574
BRANCH CHIEF.....	ANTONIA CHION.....	8145	8-1	942-4567
BRANCH CHIEF.....	KEVIN P. MCENERY.....	8149	8-1	942-4708
OFFICE OF ASSISTANT DIRECTOR NO. 6.....				942-4552
PRINCIPAL ASSISTANT DIRECTOR.....	JERRY A. ISENBERG.....	4093	4-3B	942-4652
BRANCH CHIEF.....	PATRICK M. JOYCE.....	4090	4-3B	942-4661
BRANCH CHIEF.....	PAT S. CONTI.....	4082	4-3B	942-4583
OFFICE OF ASSISTANT DIRECTOR NO. 8.....				942-4553
ASSISTANT DIRECTOR.....	ERICH T. SCHWARTZ.....	5105	5-4	942-4782
BRANCH CHIEF.....	M. CATHERINE COTTAM.....	5104	5-4	942-4586
BRANCH CHIEF.....	ABBE R. TIGER.....	5105	5-4	942-4818

OFFICE OF ASSOCIATE DIRECTOR

ASSOCIATE DIRECTOR.....	JOSEPH I. GOLDSTEIN.....	4012	4-1	942-4560
CHIEF, MARKET MANIPULATION PROGRAM.....	SARAH B. ACKERSON.....	4170	4-1	942-4504
OFFICE OF ASSISTANT DIRECTOR NO. 9.....				942-4561
ASSISTANT DIRECTOR.....	ELLEN B. ROSS.....	5093	5-3	942-4770
BRANCH CHIEF.....	PATRICIA J. THOMPSON.....	5090	5-3	942-4816
BRANCH CHIEF.....	BARBARA L. GUNN.....	5091	5-3	942-4634
BRANCH CHIEF.....		5087	5-3	942-4616

DIVISION OF ENFORCEMENT (Continued)

OFFICE OF ASSISTANT DIRECTOR NO. 12.....			942-4563
ASSISTANT DIRECTOR.....	THOMAS B. LAWSON.....	4197	4-8A 942-4683
BRANCH CHIEF.....	SUSAN L. LEBEAUX.....	4198	4-8A 942-4684
BRANCH CHIEF.....	LANI M. LEE.....	4194	4-8A 942-4685
OFFICE OF ASSISTANT DIRECTOR NO. 10.....			942-4562
ASSISTANT DIRECTOR.....	LEONARD W. WANG.....	5084	5-2 942-4828
BRANCH CHIEF.....	DANIEL H. RUBENSTEIN.....	5075	5-2 942-4772
BRANCH CHIEF.....	RICHARD WALLACE.....	5078	5-2 942-4827

OFFICE OF ASSOCIATE DIRECTOR

ASSOCIATE DIRECTOR.....	GARY N. SUNDICK.....	4005	4-1 942-4570
ASSISTANT DIRECTOR.....	WILLIAM R. BAKER.....	4156	4-1 942-4517

SPECIAL ASSISTANT FOR MARKET SURVEILLANCE.....	RICHARD V. NORELL.....	4063	4-3A 942-4731
OFFICE OF MARKET SURVEILLANCE.....			942-4573
CHIEF, OFFICE OF MARKET SURVEILLANCE.....	JOSEPH J. CELLA.....	4075	4-3A 942-4559

OFFICE OF ASSISTANT DIRECTOR NO. 11.....			942-4571
ASSISTANT DIRECTOR.....	PAUL HUEY-BURNS.....	4078	4-10 942-4649
BRANCH CHIEF.....	RICHARD C. SAUER.....	4081	4-10 942-4777
BRANCH CHIEF.....	ROBERT C. BESSE.....	4084	4-10 942-4534

OFFICE OF ASSISTANT DIRECTOR NO. 13.....			942-4572
ASSISTANT DIRECTOR.....	DANIEL A. NATHAN.....	4102	4-4 942-4726
BRANCH CHIEF.....	GREGORY S. BRUCH.....	4104	4-4 942-4548
BRANCH CHIEF.....	ELIZABETH F. MEYER.....	4097	4-4 942-4714

OFFICE OF CHIEF COUNSEL

CHIEF COUNSEL.....	JOAN E. MCKOWN.....	4015	4-1 942-4530
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OFFICE OF CHIEF COUNSEL - ADVICE, RESEARCH AND REPORTING.....			942-4532
ASSOCIATE CHIEF COUNSEL.....	GRETTA POWERS.....	4119	4-9 942-4756
ASSISTANT CHIEF COUNSEL.....	STEPHEN M. DETORE.....	4122	4-9 942-4593

OFFICE OF ASSISTANT DIRECTOR NO. 3 - BRANCHES OF REGIONAL OFFICE ASSISTANCE.....			942-4531
ASSISTANT DIRECTOR.....	EMILY P. GORDY.....	4201	4-8B 942-4627
BRANCH CHIEF.....	JOHN S. POLISE.....	4200	4-8B 942-4755
BRANCH CHIEF.....	EVAN GELDZAHLER.....	4202	4-8B 942-4613

OFFICE OF CHIEF LITIGATION COUNSEL

TRIAL UNIT OFFICE (4TH FLOOR).....			942-4520
TRIAL UNIT OFFICE (7TH FLOOR).....			942-4521

CHIEF LITIGATION COUNSEL.....	BARRY R. GOLDSMITH.....	4021	4-2 942-4522
DEPUTY CHIEF LITIGATION COUNSEL.....	STEPHEN J. CRIMMINS.....	4027	4-2 942-4589

OFFICE OF CORPORATE PRACTICE

CHIEF ACCOUNTANT.....	GEORGE H. DIACONT.....	9140	9-9 942-4510
DEPUTY CHIEF ACCOUNTANT.....	EDWARD G. NOAKES.....	9043	9-9 942-4730
ASSISTANT CHIEF ACCOUNTANT.....	REGINA M. BARRETT.....	9135	9-9 942-4524
ASSISTANT CHIEF ACCOUNTANT.....	TERESA B. MURRIN.....	9146	9-9 942-4724
SENIOR STAFF ACCOUNTANT.....	JAMES E. WALDECK.....	9049	9-9 942-4826

OFFICE OF REGIONAL OFFICE OPERATIONS

DIRECTOR.....	JAMES A. CLARKSON.....	4030	4-1 942-4580
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DIVISION OF INVESTMENT MANAGEMENT

DIRECTOR.....	BARRY P. BARBASH.....	10065	10-6	942-0720
SECRETARY TO THE DIRECTOR.....	KATHERINE MYLES.....	10067	10-6	942-0720
DEPUTY DIRECTOR.....	BARBARA J. GREEN.....	10070	10-6	942-0716
SECRETARY TO THE DEPUTY DIRECTOR.....	MICHA GOEWY.....	10067	10-6	942-0715
STAFF ASSISTANT.....	BEVERLY A. FLEMING.....	10064	10-6	942-0710
COMPUTER SPECIALIST.....	SHUANG PING CHEN.....	10079	10-6	942-0717
FAX.....		10055	10-6	504-2395

OFFICE OF THE ASSOCIATE DIRECTOR (LEGAL AND DISCLOSURE)

ASSOCIATE DIRECTOR.....	C. GLADWYN GOINS.....	10060	10-6	942-0665
SENIOR SPECIAL COUNSEL.....	SUSAN NASH.....	10208	10-6	942-0697
SENIOR SPECIAL COUNSEL, EDGAR IM PROJECT.....	ANTHONY A. VERTUNO.....	9154	10-6	942-0591

OFFICE OF DISCLOSURE AND REVIEW

ASSISTANT DIRECTOR.....	CAROLYN B. LEWIS.....	10111	10-5	942-0589
CHIEF ACCOUNTANT.....	LAWRENCE A. FRIEND.....	10099	10-5	942-0590
ASSISTANT CHIEF ACCOUNTANT.....	ANTHONY S. EVANGELISTA.....	10076	10-5	942-0636
ASSISTANT CHIEF ACCOUNTANT.....	JAMES F. VOLK.....	10076	10-5	942-0637
BRANCH CHIEF (BRANCH 16).....	FRANK J. DONATY.....	10107	10-5	942-0586
BRANCH CHIEF (BRANCH 17).....	DAVID L. WILLS.....	10115	10-5	942-0587
BRANCH CHIEF (BRANCH 18).....	JEREMIAH DEMICHAELIS.....	10119	10-5	942-0588

OFFICE OF DISCLOSURE AND INVESTMENT ADVISER REGULATION

ASSISTANT DIRECTOR.....	ROBERT E. PLAZE.....	10054	10-6	942-0721
DEPUTY CHIEF.....	KENNETH J. BERMAN.....	10056	10-6	942-0721
SPECIAL COUNSEL.....	KATHLEEN K. CLARK.....	10052	10-6	942-0724

OFFICE OF INSURANCE PRODUCTS

ASSISTANT DIRECTOR.....		10162	10-6	942-0670
DEPUTY CHIEF.....		10158	10-6	942-0670
ASSISTANT CHIEF.....	ROBERT L. DORSEY.....	10154	10-6	942-0670
SPECIAL COUNSEL.....	MICHAEL V. WIBLE.....	10173	10-6	942-0670

OFFICE OF ASSOCIATE DIRECTOR (CHIEF COUNSEL)

ASSOCIATE DIRECTOR.....		10091	10-6	942-0652
SENIOR SPECIAL COUNSEL.....		10098	10-6	942-0660
ASSISTANT CHIEF COUNSEL, INTERNATIONAL ISSUES.....	HEIDI STAM.....	10096	10-6	942-0660
SPECIAL COUNSEL.....		10097	10-6	942-0660
ASSISTANT CHIEF COUNSEL, FINANCIAL INSTITUTIONS.....	DOROTHY M. DONOHUE.....	10095	10-6	942-0660
SPECIAL COUNSEL.....	AMY R. DOBERMAN.....	10080	10-6	942-0660
PUBLIC INQUIRIES.....		10100	10-6	942-0659

OFFICE OF THE ASSOCIATE DIRECTOR (REGULATION)

ASSOCIATE DIRECTOR.....	MATTHEW A. CHAMBERS.....	10058	10-6	942-0663
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OFFICE OF INVESTMENT COMPANY REGULATION

ASSISTANT DIRECTOR.....	ELIZABETH G. OSTERMAN.....	10182	10-6	942-0564
SENIOR SPECIAL COUNSEL AND CHIEF (BRANCH 26).....	BARRY D. MILLER.....	10177	10-6	942-0564
SENIOR SPECIAL COUNSEL.....	JOSEPH G. MARI.....	10167	10-6	942-0564
BRANCH CHIEF (BRANCH 21).....	ROBERT A. ROBERTSON.....	10187	10-6	942-0564
BRANCH CHIEF (BRANCH 23).....	C. DAVID MESSMAN.....	10196	10-6	942-0564
SPECIAL COUNSEL.....	HOUGHTON R. HALLOCK, JR.....	10202	10-6	942-0564
SPECIAL COUNSEL.....	MARILYN K. MANN.....	10201	10-6	942-0564

DIVISION OF INVESTMENT MANAGEMENT (CONTINUED)

OFFICE OF REGULATORY POLICY

ASSISTANT DIRECTOR.....	DIANE C. BLIZZARD.....	10216	10-6	942-0690
ASSISTANT CHIEF.....	ROBERT G. BAGNALL.....	10212	10-6	942-0686
SPECIAL COUNSEL.....	ELIZABETH R. KRENTZMAN.....	10200	10-6	942-0687
PUBLIC INQUIRIES ON STATUS OF PROPOSALS.....				942-0691

OFFICE OF ASSOCIATE DIRECTOR (PUBLIC UTILITY REGULATION)

ASSOCIATE DIRECTOR.....	WILLIAM C. WEEDEN.....	10236	10-6	942-0545
CHIEF FINANCIAL ANALYST.....	ROBERT P. WASON.....	10220	10-6	942-0543
SENIOR SPECIAL COUNSEL.....	SIDNEY L. CIMMET.....	10237	10-6	942-0545

OFFICE OF APPLICATIONS

ASSISTANT DIRECTOR.....	MARTHA CATHY BAKER.....	10224	10-6	942-0545
BRANCH CHIEF.....	BARBARA T. HEUSSLER.....	10232	10-6	942-0545
BRANCH CHIEF.....	CATHERINE A. FISHER.....	10232	10-6	942-0560

OFFICE OF LEGAL AND POLICY ANALYSIS

ASSISTANT DIRECTOR.....	JOANNE C. RUTKOWSKI.....	10238	10-6	942-0545
SPECIAL COUNSEL.....	DAVID G. LAROCHE.....	10227	10-6	942-0559

OFFICE OF ASSOCIATE DIRECTOR (COMPLIANCE AND FINANCIAL ANALYSIS)

ASSOCIATE DIRECTOR.....	GENE A. GOHLKE.....	10040	10-3	942-0540
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OFFICE OF FINANCIAL ANALYSIS

CHIEF FINANCIAL ANALYST.....	PAUL B. GOLDMAN.....	10024	10-3	942-0510
SENIOR FINANCIAL ANALYST.....	CAROLYN A. MILLER.....	10030	10-3	942-0510
SENIOR FINANCIAL ANALYST.....	ROBERT E. ZWEIG.....	10018	10-3	942-0514

OFFICE OF INSPECTIONS

ASSISTANT DIRECTOR.....	R. MICHAEL PARKER.....	10022	10-3	942-0522
BRANCH CHIEF.....	LOUIS P. BECKA.....	10020	10-3	942-0522
BRANCH CHIEF.....	PETER L. SMITH.....	10026	10-3	942-0522
SENIOR ACCOUNTANT.....	MARVIN W. RODGERS.....	8058	10-3	942-0524
SENIOR ACCOUNTANT.....	JACKIE L. YOUNGBLOOD.....	10034	10-3	942-0530

OFFICE OF ENFORCEMENT LIAISON

ASSISTANT DIRECTOR.....	DOUGLAS J. SCHEIDT.....	10028	10-3	942-0535
SPECIAL COUNSEL.....	J. POPE LANGSTAFF.....	10036	10-3	942-0537
SPECIAL COUNSEL.....	JEAN E. MINARICK.....	10042	10-3	942-0536
SPECIAL COUNSEL.....	NANCY RAPPA.....	10016	10-3	942-0538

DIVISION OF MARKET REGULATION

DIRECTOR.....	BRANDON BECKER.....	5000	5-1	942-0090
SECRETARY TO THE DIRECTOR.....	LAJONCY WILLIS.....	5010	5-1	942-0080
DEPUTY DIRECTOR.....	ROBERT L. D. COLBY.....	5006	5-1	942-0094
SENIOR ADVISOR.....	MARY A. GADZIALA.....	5003	5-1	942-0087
SPECIAL COUNSEL.....	BARBARA N. FERRARA.....	5024	5-1	942-0085
STAFF ASSISTANT.....	ELLA E. HAWKINS.....	5202	5-1	942-0099
COMPUTER SPECIALIST.....	WILLIAM HUDDLESTON.....	5011	5-1	942-0083
FAX.....				272-2864

OFFICE OF TRADING PRACTICES, AUTOMATION & INT'L MARKETS

ASSOCIATE DIRECTOR.....	LARRY E. BERGMANN.....	5012	5-1	942-0770
SENIOR SPECIAL COUNSEL.....	M. BLAIR CORKRAN, JR.	5033	5-1	942-0775
ASSISTANT DIRECTOR, TRADING PRACTICES.....	NANCY J. SANOW.....	5030	5-1	942-0772
SENIOR COUNSEL.....	K. SUSAN GRAFTON.....	5037	5-1	942-0779
BRANCH CHIEF, POLICY AND RULE MAKING.....	ALEXANDER DILL.....	5027	5-1	942-4892
BRANCH CHIEF, INTERPRETATIONS.....		5036	5-1	942-0781
ASSISTANT DIRECTOR, AUTOMATION AND INT'L MARKETS.....		5167	5-1	942-0774
SPECIAL COUNSEL.....	GORDON FULLER.....	5040	5-1	942-0792
BRANCH CHIEF, INT'L MARKETS & PROP. TRADING SYS.....	SHIELA SLEVIN.....	5170	5-1	942-0796
BRANCH CHIEF, EDP REVIEW.....	KEITH RILEY.....	5173	5-1	942-0769

OFFICE OF CHIEF COUNSEL

ASSOCIATE DIRECTOR.....	CATHERINE MCGUIRE.....	7115	7-10	942-0061
DEPUTY CHIEF COUNSEL.....	BELINDA BLAINE.....	7123	7-10	942-0063
SPECIAL COUNSEL.....	ROBERT LOVE.....	7121	7-10	942-0073
BRANCH CHIEF, LEGAL INTERPRETATIONS.....		7121	7-10	942-0073
BRANCH CHIEF, FINANCIAL INSTITUTION REGULATION.....		7122	7-10	942-0073

OFFICE OF SELF-REGULATORY OVERSIGHT AND MARKET STRUCTURE

ASSOCIATE DIRECTOR.....	JONATHAN KALLMAN.....	5018	5-1	942-0180
ASSISTANT DIRECTOR, NATIONAL MARKET SYSTEM & OTC.....	KATHERINE ENGLAND.....	5200	5-1	942-0154
BRANCH CHIEF, NATIONAL MARKET SYSTEM.....	ELIZABETH MACGREGOR.....	5199	5-1	942-0158
BRANCH CHIEF, OVER-THE-COUNTER REGULATION.....	MARK BARRACA.....	5188	5-1	942-0160
ASSISTANT DIRECTOR, SECURITIES PROCESSING REG.....		5198	5-1	942-4187
SPECIAL COUNSEL.....	ESTER SAVERSON.....	5182	5-1	942-0165
BRANCH CHIEF, CLEARING AGENCY REGULATION.....	JERRY CARPENTER.....	5176	5-1	942-0162
BRANCH CHIEF, TRANSFER AGENT REGULATION.....	JACK DROGIN.....	5179	5-1	942-0164

OFFICE OF INSPECTIONS AND FINANCIAL RESPONSIBILITY

ASSOCIATE DIRECTOR.....	MARK D. FITTERMAN.....	5001	5-1	942-4160
SUPERVISORY COMPLIANCE EXAMINER.....	FRANK MCGING.....	5164	5-1	942-0730
SPECIAL COUNSEL.....	SUSAN WALTERS.....	5125	5-1	942-4166
ASSISTANT DIRECTOR, SELF-REGULATION INSPECTIONS.....	JUDITH POPPALARDO.....	5128	5-1	942-4164
SPECIAL COUNSEL.....	ALLEN R. CORNELIUS, III.....	5122	5-1	942-4169
SECURITIES COMPLIANCE SPECIALIST.....	CHRISTINE DEAR.....	5148	5-1	942-0734
OFFICE MANAGER, EXAMINATION OVERSIGHT.....	LEONARD L. UNGER.....	5134	5-1	942-0736
SENIOR PROGRAM ANALYST.....	ROBERT W. LOWRY.....	5131	5-1	942-0737
BRANCH CHIEF, ARBITRATION AND B/D COMPLIANCE.....		5119	5-1	942-4163
BRANCH CHIEF, COMPLIANCE INSPECTIONS.....	JAMES CHAN.....	5137	5-1	942-0743

DIVISION OF MARKET REGULATION (CONTINUED)

ASSISTANT DIRECTOR, MARKET OPER. & SURVEILLANCE.....	JULIO A. MOJICA.....	5156	5-1	942-0756
SPECIAL COUNSEL.....	NICHOLAS CHAPEKIS.....	5164	5-1	942-0757
OFFICE HEAD, MARKET ANALYSIS.....	ALTON HARVEY.....	5160	5-1	942-4168
BRANCH CHIEF, OPTIONS SURVEILLANCE.....	JOSEPH McDONALD.....	5152	5-1	942-0732
BRANCH CHIEF, STOCKS SURVEILLANCE.....	SUSAN LEE.....	5144	5-1	942-0759

OFFICE OF CAPITAL MARKETS & FINANCIAL RESPONSIBILITY

ASSOCIATE DIRECTOR.....	MICHAEL A. MACCHIAROLI.....	5048	5-1	942-0132
DEPUTY ASSOCIATE DIRECTOR.....	HARRY MELAMED.....	5044	5-1	942-0134
BRANCH CHIEF, FINANCIAL REPORTING.....	ROGER COFFIN.....	5060	5-1	942-0136
BRANCH CHIEF, FINANCIAL RESPONSIBILITY.....	TIMOTHY THOMPSON.....	5056	5-1	942-0138

OFFICE OF DERIVATIVES AND EXCHANGE

ASSOCIATE DIRECTOR.....	HOWARD KRAMER.....	5003	5-1	942-0180
ASSISTANT DIRECTOR.....	SHARON LAWSON.....	5201	5-1	942-0182
BRANCH CHIEF, EXCHANGE REGULATION.....		5185	5-1	942-0186
BRANCH CHIEF, OPTIONS REGULATION.....	MICHAEL WALINSKAS.....	5191	5-1	942-0187

OFFICE OF ADMINISTRATIVE LAW JUDGES

CHIEF ADMINISTRATIVE LAW JUDGE.....	BRENDA P. MURRAY.....	7197	7-7	942-0399
SECRETARY TO THE CHIEF ALJ.....	LINDA M. CURTIS.....	7200	7-7	942-0399
GENERAL INFORMATION.....		7200	7-7	942-0399

OFFICE OF ADMINISTRATIVE AND PERSONNEL MANAGEMENT

ASSOCIATE EXECUTIVE DIRECTOR.....	FERNANDO L. ALEGRIA, JR.....	2029	2-3	942-4000
SECRETARY TO ASSOCIATE EXECUTIVE DIRECTOR.....		2029	2-3	942-4000
SPECIAL ASSISTANT TO THE ASSOC. EXECUTIVE DIRECTOR...	BONNIE M. WESTBROOK.....	2025	2-3	942-4003
SPECIAL ASSISTANT TO THE ASSOC. EXECUTIVE DIRECTOR...	DEBORAH K. BALDUCCHI.....	2022	2-3	942-4004
OPERATIONS OFFICERS.....	RICHARD J. KANYAN.....	2034	2-3	942-4000
SES PROGRAM OFFICER.....	CAROL SMITH.....	2035	2-3	942-4198
ADMINISTRATIVE CONTACT.....		2029	2-3	942-4000
FAX.....				272-3732

ADMINISTRATIVE MANAGEMENT

BRANCH CHIEF, PROCUREMENT AND CONTRACTING.....	JEAN L. RYAN.....	2464	0-20	942-4990
BRANCH CHIEF, DESKTOP PUBLISHING.....	LEMUEL L. CANADY.....	1C38	C-19	942-4055
BRANCH CHIEF, FACILITIES.....	HARRY K. FLEMING.....	2C00	C-8	942-4010
BRANCH CHIEF, MANAGEMENT AND PROGRAM COORDINATION....	PATRICIA A. RAGLAND.....	2141	2-8	942-4060
BRANCH CHIEF, PRINTING.....	DAVE MILLER.....	2C41	C-9	942-4030
PRINT SHOP.....	MICHAEL BOWLDING.....	3C06	C-12	942-4035
PUBLICATIONS.....	LLOYD COBEY.....	3C40	C-11	942-4040
MAIL ROOM.....	JIM DOUGHTY.....	2C53	C-13	942-4045
COURIER/FAX ROOM.....				942-4050

PERSONNEL MANAGEMENT

BRANCH CHIEF, EMPLOYEE RELATIONS AND DEVELOPMENT.....	EUGENE JOHNSON.....	2456	0-21	942-4983
EMPLOYEES RELATIONS.....	MARK RAISHER.....	2055	2-3	942-4000
TRAINING.....	JEAN BURTON.....	2460	0-21	942-4989
BRANCH CHIEF, CLASSIFICATION AND STAFFING.....	JAMES WOHLGEMUTH.....	2029	2-3	942-4070
BRANCH CHIEF, PROCESSING AND BENEFITS.....	BERTHA WADE.....	2029	2-3	942-4080

OFFICE OF THE CHIEF ACCOUNTANT

CHIEF ACCOUNTANT.....	WALTER P. SCHUETZE.....	9066	9-5	942-4400
SECRETARY TO THE CHIEF ACCOUNTANT.....	P. J. PROCTOR-SARVIS.....	9064	9-5	942-4400
DEPUTY CHIEF ACCOUNTANT.....	JOHN M. RILEY.....	9075	9-5	942-4400
CHIEF COUNSEL.....	ROBERT E. BURNS.....	9068	9-5	942-4400
ASSOCIATE CHIEF ACCOUNTANT.....	MICHAEL J. KIGIN.....	9054	9-5	942-4400
ASSOCIATE CHIEF ACCOUNTANT.....	JOHN W. ALBERT.....	9060	9-5	942-4400
ASSOCIATE CHIEF ACCOUNTANT.....	RICHARD J. REINHARD.....	9058	9-5	942-4400
ADMINISTRATIVE OFFICER.....	P. J. PROCTOR-SARVIS.....	9064	9-5	942-4400
FAX.....				504-2724

OFFICE OF THE COMPTROLLER

COMPTROLLER.....	LAWRENCE H. HAYNES.....	2067	2-5	942-0340
SECRETARY TO THE COMPTROLLER.....	ANGELA OLIPHANT.....	2062	2-5	942-0340
ASSISTANT COMPTROLLER.....	HENRY I. HOFFMAN.....	2070	2-5	942-0343
BRANCH CHIEF, BUDGET.....	JAMES TAYLOR.....	2082	2-5	942-0351
BRANCH CHIEF, FISCAL OPERATIONS.....	DARRELL L. DOCKERY.....	2094	2-5	942-0349
BRANCH CHIEF, FINANCIAL MANAGEMENT.....	PAUL W. BOGNASKI.....	2052	2-5	942-0346
PAY AND LEAVE SECTION.....	GLORIA FANTROY.....	2074	2-5	942-0371
VOUCHER AUDIT SECTION.....	JOHN H. OLIVER.....	2068	2-5	942-0361
ACCOUNTING SECTION.....	SANDRA L. ANDERSON.....	2095	2-5	942-0381
FAX.....				272-3556

OFFICE OF ECONOMIC ANALYSIS

CHIEF ECONOMIST.....	SUSAN WOODWARD.....	9000	9-1	942-8020
SECRETARY TO THE CHIEF ECONOMIST.....	PATRICK LENT.....	9004	9-1	942-8044
DIRECTOR-ECONOMIC AND POLICY RESEARCH.....	JEFFRY DAVIS.....	9197	9-1	942-8020
BRANCH CHIEF, SECURITIES INDUSTRY ANALYSIS.....	WILLIAM J. ATKINSON.....	9199	9-1	942-8020
ADMINISTRATIVE OFFICER.....	ROSA LAWSON.....	9190	9-1	942-8043
FAX.....				272-7132

OFFICE OF EQUAL EMPLOYMENT OPPORTUNITY

DIRECTOR.....	FAITH D. RUDERFER.....	2180	2-12	942-0041
SECRETARY TO THE DIRECTOR.....	CHRISTINE W. BRISCOE.....	2178	2-12	942-0058
CHIEF, AFFIRMATIVE EMPLOYMENT BRANCH.....	DARREN GOEBELS.....	2178	2-12	942-0056
CHIEF, COMPLIANCE BRANCH.....		2174	2-12	942-
CHIEF, COUNSELING BRANCH.....	EMERSON S. DAVIS.....	2171	2-12	942-0052
SPECIAL COUNSEL.....	D. LEAH MELTZER.....	2181	2-12	942-0059
SPECIAL COUNSEL, SPECIAL PROGRAMS.....	KAREN MACRAE SMITH.....	2177	2-12	942-0055
ADMINISTRATIVE CONTACT.....	SUSAN ENGELBRECHT.....	6010	6-1	942-0122
FAX.....				272-3732
TTY DEDICATED LINE.....				942-9546

OFFICE OF FILINGS AND INFORMATION SERVICES

(- 942-8970 + Extension)

ASSOCIATE EXECUTIVE DIRECTOR.....	WILSON A. BUTLER, JR.	1500	0-18	942-8938
SECRETARY TO THE ASSOCIATE EXECUTIVE DIRECTOR.....	DIANA MCCUNN.....	1500	0-18	942-8929
DEPUTY DIRECTOR.....	MARIE B. SIMPSON.....	1500	0-18	942-8938
ASSOCIATE DIRECTOR.....	ANN C. SYKES.....	2500	0-6	942-8925
ASSOCIATE DIRECTOR.....	CECILIA H. WILKERSON.....	2500	0-6	942-8938
ASSISTANT DIRECTOR.....	SHIRLEY A. SLOCUM.....	9052	C-20	942-8050
SPECIAL ASSIST TO THE ASSOC. EXEC. DIR.....	SHIRLEY A. WRIGHT.....	1500	0-18	942-8938
RECORDS OFFICER.....	SUZANNE L. MCHUGH.....	302	Annex	000-4650-
ADMINISTRATIVE CONTACT.....	RONNI BURNS.....	1508	0-19	942-8940
FAX (OPERATIONS CENTER).....				504-2474
CHIEF, BRANCH OF REGISTRATIONS AND EXAMINATIONS.....	STEPHEN F. MAYLE.....	204	Annex	000-8980-
CHIEF, BRANCH OF QUALITY CONTROL.....	PATRICIA A. ALFORD.....	904	Annex	000-4405-
CHIEF, BRANCH OF DOCUMENT CONTROL.....	IDA M. BROWN.....	1004	1-4	942-8050
CHIEF, BRANCH OF RECORDS MANAGEMENT.....			Annex	000-4650-
CHIEF, BRANCH OF EDGAR OPERATIONS.....		1525	0-7	942-8920
CHIEF, BRANCH OF PUBLIC REFERENCE.....	VIRGINIA NABINETT.....	1024	1-2	942-8078
TDD.....				942-8092
FAX (ANNEX).....				504-2699

OFFICE OF FREEDOM OF INFORMATION AND PRIVACY ACT OPERATIONS

[ACTING] FOIA/PRIVACY ACT OFFICER.....	HANNAH R. HALL.....	2108	2-11	942-4320
STAFF ATTORNEY.....	ELIZABETH T. TSAI.....	2111	2-11	942-4326
BRANCH CHIEF (BRANCH 1).....	HANNAH R. HALL.....	2117	2-11	942-4324
BRANCH CHIEF (BRANCH 2).....	BRENDA LIPSCOMB.....	2114	2-11	942-4325

OFFICE OF INFORMATION TECHNOLOGY

ASSOCIATE EXECUTIVE DIRECTOR (CIO).....	JOHN J. LANE.....	2110	0-4	942-8800
SECRETARY TO THE DIRECTOR.....	ADDIE M. THROWER.....	2115	0-4	942-8801
FAX.....				(703) 914-2621

OFFICE OF PLANNING, ADMINISTRATION AND SECURITY

DIRECTOR.....	DAVID T. COPENHAFFER.....	2108	0-4	942-8800
SPECIAL ASSISTANT TO THE DIRECTOR.....	GEORGE R. POSPOLITA.....	2226	0-4	942-8846
BRANCH CHIEF, IRM PLANNING.....	GREGORY W. JONES, SR.....	2208	0-4	942-8834
BRANCH CHIEF, BUDGET AND CONTRACTS.....	GEORGE R. ECKARD.....	2102	0-4	942-8819
BRANCH CHIEF, QUALITY ASSURANCE.....	CHARLES G. WOODS.....	2218	0-4	942-8857
ADMINISTRATIVE CONTACT.....	DEBORAH K. BOWLING.....	2103	0-4	942-8812
FAX.....				504-2477

OFFICE OF OPERATIONS

DIRECTOR.....	RICHARD T. REDFEARN.....	1120	0-1	942-8999
BRANCH CHIEF, COMPUTER OPERATIONS.....	FRANCOIS A. C. DEBUCK.....	1112	0-1	942-8878
BRANCH CHIEF, COMMUNICATIONS.....	ERNEST JONES, JR.....	2182	2-10	942-4375
BRANCH CHIEF, PRODUCTION SUPPORT.....	CHARLES F. KIRBY.....	1116	0-1	942-8894
BRANCH CHIEF, SYSTEM SOFTWARE.....	ERIC R. MALMSTROM.....	1122	0-2	942-8883
FAX.....				504-2475

OFFICE OF USER SUPPORT SERVICES

DIRECTOR.....	KENNETH A. DREWS.....	1236	0-15	942-8622
SPECIAL ASSISTANT TO THE DIRECTOR.....	SHARON L. MERCER-MOOD.....	1230	0-15	942-8627
BRANCH CHIEF, OFFICE SYSTEMS.....	GREGORY L. COBERT.....	2188	2-10	942-4390
BRANCH CHIEF, FILER TECHNICAL SUPPORT.....	MARGARET A. FAVOR.....	1216	0-16	942-8602
BRANCH CHIEF, USER SUPPORT CENTER.....	JAMES F. TABELLARIO.....	2204	2-10	942-4353
USIC HOTLINE.....				942-4357
FAX.....				504-2688

OFFICE OF SYSTEMS SUPPORT

DIRECTOR.....	MICHAEL CAREY.....	2222	0-4	942-8800
BRANCH CHIEF, ADMINISTRATIVE SYSTEMS.....	CHARLOTTE M. BROWN.....	1248	0-4	942-8814
BRANCH CHIEF, MISSION SYSTEMS.....	PAMELA G. JOHNSON.....	2262	0-4	942-8833
BRANCH CHIEF, DESIGN AND ARCHITECTURE.....	WILLIAM H. McDONALD, JR.....	2224	0-4	942-8840
FAX.....				504-2477

OFFICE OF THE INSPECTOR GENERAL

MAIL CONFIDENTIAL INFORMATION TO:

P. O. BOX 50143
TECH WORLD STATION
WASHINGTON, D.C. 20091
FAX NO. (202) 504-2383

INSPECTOR GENERAL.....	WALTER J. STACHNIK.....	7010	7-9	942-4460
DEPUTY INSPECTOR GENERAL.....	NELSON N. EGBERT.....	7010	7-9	942-4462
COUNSEL TO THE INSPECTOR GENERAL.....	JON JENSVOLD.....	7010	7-9	942-4463

OFFICE OF INTERNATIONAL AFFAIRS

DIRECTOR.....	MICHAEL D. MANN.....	10000	10-1	942-2770
CONFIDENTIAL ASSISTANT TO THE DIRECTOR.....	JACQUELINE CLAY.....	10000	10-1	942-2771
DEPUTY DIRECTOR.....	PAUL A. LEDER.....	10009	10-1	942-2770
ASSISTANT DIRECTOR.....	ELIZABETH JACOBS.....	10012	10-1	942-2770
ASSISTANT DIRECTOR.....	ROBERT D. STRAHOTA.....	10002	10-1	942-2770
ASSISTANT DIRECTOR.....	LISE A. SCHWARTZ.....	10014	10-1	942-2770
ADMINISTRATIVE CONTACT.....	JACQUELINE CLAY.....	10000	10-1	942-2771

OFFICE OF LEGISLATIVE AFFAIRS

DIRECTOR.....	KATHRYN FULTON.....	6017	6-2	942-0014
SECRETARY TO THE DIRECTOR.....	TAMARA GEORGE.....	6017	6-2	942-0018
LEGISLATIVE COUNSEL.....	PETER S. KIERNAN.....	6017	6-2	942-0015
LEGISLATIVE ANALYST.....	JANICE GRIFFIS.....	6017	6-2	942-0016
LEGISLATIVE ASSISTANT.....	SHARON FREEMAN.....	6017	6-2	942-0017

OFFICE OF PUBLIC AFFAIRS, POLICY EVALUATION AND RESEARCH

DIRECTOR.....	JENNIFER KIMBALL.....	7103	7-1	942-0020
CONFIDENTIAL ASSISTANT.....	BILL O'LEARY.....	7103	7-1	942-0020
DEPUTY DIRECTOR.....	JOHN D. HEINE.....	7103	7-1	942-0020
DEPUTY DIRECTOR.....	MICHAEL D. JONES.....	7103	7-1	942-0020
FOREIGN VISITORS PROGRAM.....	CAROL PATTERSON.....	7103	7-1	942-0020
SEC NEWS DIGEST.....	CARLENE M. AKINS.....	7103	7-1	942-0020
NEWS CLIPS.....	IRENE PROCTOR.....	7103	7-1	942-0025
NEWS CLIPS.....	MARY B. NEAL.....	7103	7-1	942-0024
EMPLOYEE NEWSPAPER.....	MARY E. TEEL.....	7103	7-1	942-0027
ADMINISTRATIVE OFFICER.....	SHIRLEY A. CHESTNUT.....	7103	7-1	942-0023
TDD.....				942-0023
FAX.....				272-3112

SEC SPACE RENOVATION PROGRAM

DIRECTOR.....	KENNETH A. FOGASH.....	2041	2-2	942-4100
SECRETARY TO THE DIRECTOR.....	DONNA R. ELLIS.....	2042	2-2	942-4101
SPECIAL ASSISTANT TO THE DIRECTOR.....	WILLIAM E. FORD.....	2037	2-2	942-4097
FAX.....				272-2134

REGION 1

Connecticut, Delaware, District of Columbia,
Maine, Maryland, Massachusetts, New Hampshire,
New Jersey, New York, Pennsylvania, Rhode Island,
Vermont, Virginia and West Virginia

NORTHEAST REGIONAL OFFICE

7 WORLD TRADE CENTER
SUITE 1300
NEW YORK, NEW YORK 10048

GENERAL INFORMATION: 9-1-212-748-8000
FTS : 9-1-212-748-EXT.
FAX : 9-1-212-748-8032 (Administrative Services)
: 9-1-212-748-8045 (Regional Director)
: 9-1-212-748-8167 (Broker/Dealer)
: 9-1-212-748-8552 (B/D Sr. Assoc. Reg. Dir.)
: 9-1-212-748-8358 (Investment Management)
: 9-1-212-748-8554 (IM Assoc. Reg. Dir.)
: 9-1-212-748-8049 (ENF Sr. Assoc. Dir.)
: 9-1-212-748-8553 (ENF 2 - 11th Floor)
: 9-1-212-748-8555 (ENF 3 - 11th Floor)
: 9-1-212-748-8007 (Public Reference Room)
OFFICE HOURS : 9:00 - 5:30 EST
WASHINGTON TIME : 9:00 - 5:30

REGIONAL DIRECTOR.....RICHARD H. WALKER.....748-8035
FAX.....748-8045
SECRETARY TO THE REGIONAL DIRECTOR.....LOUISE FORD.....748-8041
DEPUTY REGIONAL DIRECTOR.....EDWIN H. NORDLINGER.....748-8038
SUPERVISORY PROGRAM ANALYST.....REINALDO A. REID.....748-8030

OFFICE OF THE SENIOR ASSOCIATE REGIONAL DIRECTOR ENFORCEMENT

SENIOR ASSOCIATE REGIONAL DIRECTOR.....CARMEN J. LAWRENCE.....748-8178
STAFF ENFORCEMENT ACCOUNTANT.....SCOTT B. YORK.....748-8221
ASSOCIATE REGIONAL DIRECTOR.....ROBERT B. BLACKBURN.....748-8185
BRANCH OF LEGAL COUNSEL AND ENFORCEMENT NO. 1.....WAYNE CARLIN.....748-8367
BRANCH OF LEGAL COUNSEL AND ENFORCEMENT NO. 2.....LESLIE KAZON.....748-8372
ASSISTANT REGIONAL DIRECTOR.....ROBERT T. ABSHIRE.....748-8196
BRANCH OF INVESTIGATIONS NO. 1.....LANCE CLIFTON.....748-8229
BRANCH OF INVESTIGATIONS NO. 2.....IRA B. SPINDLER.....748-8202
BRANCH OF INVESTIGATIONS NO. 3.....MICHAEL NALLY.....748-8210
BRANCH OF INVESTIGATIONS NO. 4.....CHARLES D. MURPHY.....748-8206
ASSISTANT REGIONAL DIRECTOR.....ANDREW J. GEIST.....748-8186
ASSISTANT REGIONAL DIRECTOR.....HENRY KLEHM.....748-8188
ASSISTANT REGIONAL DIRECTOR.....CHRISTOPHER PETITO.....748-8292
ASSISTANT REGIONAL DIRECTOR.....AMY REICH.....748-8242
ASSISTANT REGIONAL DIRECTOR.....JAMES TYNE.....748-8192
BRANCH OF ENFORCEMENT NO. 1.....ANDREW WERTHEIM.....748-8203
BRANCH OF ENFORCEMENT NO. 2.....JOSEPHINE TYNE.....748-8205
BRANCH OF ENFORCEMENT NO. 3.....GREGORY JOHNSON.....748-8208
BRANCH OF ENFORCEMENT NO. 4.....PETER GOLDSTEIN.....748-8204
BRANCH OF ENFORCEMENT NO. 5.....JAMES O'DONNELL.....748-8209
BRANCH OF ENFORCEMENT NO. 6.....ROBERT SAPERSTEIN.....748-8207
BRANCH OF ENFORCEMENT NO. 7.....DAVID KREIDER.....748-8212
BRANCH OF ENFORCEMENT NO. 8.....ERIC SCHMIDT.....748-8249
REGIONAL LITIGATION COUNSEL.....JASON R. GETTINGER.....748-8190
SENIOR TRIAL COUNSEL.....DANIEL R. SCHNIPPER.....748-8194

REGION 1 - NORTHEAST REGIONAL OFFICE (Continued)

OFFICE OF THE ASSOCIATE REGIONAL DIRECTOR INVESTMENT MANAGEMENT AND CORPORATE REORGANIZATION

ASSOCIATE REGIONAL DIRECTOR.....	DOUGLAS SCARFF.....	748-8300
CHIEF COUNSEL (CORPORATE REORGANIZATION).....	NATHAN M. FUCHS.....	748-8299
ASSISTANT REGIONAL DIRECTOR.....	JOHN J. COSTELLO.....	748-8301
BRANCH CHIEF, I/A NO. 1.....	MARIA MAKEE.....	748-8302
BRANCH CHIEF, I/A NO. 2.....	JOSEPH HIRSCH.....	748-8313
BRANCH CHIEF, I/A NO. 3.....	DIANE RODRIGUEZ.....	748-8304
ASSISTANT REGIONAL DIRECTOR.....	JOSEPH DOYLE.....	748-8298
BRANCH CHIEF, I/C NO. 1.....	JOYCE SNELLEN.....	748-8305
BRANCH CHIEF, I/C NO. 2.....	JOSEPH DIMARIA.....	746-8306
BRANCH CHIEF, I/C NO. 3.....	RICHARD ENG.....	748-8307

OFFICE OF THE SENIOR ASSOCIATE REGIONAL DIRECTOR BROKER/DEALER AND CORPORATE FINANCE

SENIOR ASSOCIATE REGIONAL DIRECTOR.....	MARTIN A. KUPERBERG.....	748-8066
ASSISTANT REGIONAL DIRECTOR.....	RICHARD D. LEE.....	748-8076
BRANCH CHIEF, B/D NO. 1.....		748-
BRANCH CHIEF, B/D NO. 2.....	SANDY R. SADWIN.....	748-8085
BRANCH CHIEF, B/D NO. 4.....	RONALD S. SCAGLIONE.....	748-8087
ASSOCIATE REGIONAL DIRECTOR.....	ROBERT A. SOLLAZZO.....	748-8070
ASSISTANT REGIONAL DIRECTOR.....	JOHN GENTILE.....	748-8089
BRANCH CHIEF, B/D NO. 3.....	JEFFREY H. BERFOND.....	748-8086
BRANCH CHIEF, B/D NO. 7.....		748-
BRANCH CHIEF, B/D NO. 8.....	STEPHANIE A. MORENA.....	748-8092
ASSISTANT REGIONAL DIRECTOR.....	DORIS T. BAMFORD.....	748-8073
BRANCH CHIEF, B/D NO. 5.....	RICHARD HEAPHY.....	748-8093
BRANCH CHIEF, B/D NO. 6.....	MICHELE REBHANDL.....	748-8088
ASSISTANT REGIONAL DIRECTOR (B/D ENFORCEMENT).....	ELLEN HERSH.....	748-8081
BRANCH CHIEF, BROKER/DEALER ENFORCEMENT NO. 1.....		748-
BRANCH CHIEF, BROKER/DEALER ENFORCEMENT NO. 2.....		748-8079
BRANCH CHIEF, BROKER/DEALER ENFORCEMENT EXAMINATIONS.....	KEVIN COUGHLIN.....	748-8163
BRANCH CHIEF, FULL DISCLOSURE.....	RALPH NORTON.....	748-8065

REGION 1 (Continued)

BOSTON DISTRICT OFFICE
 73 TREMONT STREET
 SUITE 600
 BOSTON, MASSACHUSETTS 02108-3912

COMMERCIAL : 8-617-424-5900 + Extension
 TDD : 8-617-424-5933
 FAX : 8-617-424-5940 (MAIN)
 8-617-424-5945 (DA/ADMIN. OFC)
 OFFICE HOURS : 9:00 - 5:30 EST
 WASHINGTON TIME : 9:00 - 5:30

DISTRICT ADMINISTRATOR.....	JUAN MARCEL MARCELINO.....	600	424-5934*
SECRETARY TO THE DISTRICT ADMINISTRATOR.....	ANN WISNIEWSKI.....	600	669
DISTRICT TRIAL COUNSEL.....	D. ROBERT CERVERA.....	600	607
PROGRAM SUPPORT SPECIALIST.....	DIANE HINZPETER.....	600	671
ASSISTANT DISTRICT ADMINISTRATOR (ENFORCEMENT).....	JAMES B. ADELMAN.....	600	424-5936*
CHIEF, BRANCH NO. 1.....	RICHARD P. JACOBSON.....	600	635
CHIEF, BRANCH NO. 2.....	DAVID E. BUTLER.....	600	613
CHIEF, BRANCH NO. 3.....	CATHERINE CROISANT.....	600	624
ASSISTANT DISTRICT ADMINISTRATOR (REGULATION).....	EDWARD A. RYAN, JR.....	600	424-5935*
CHIEF, BRANCH OF BROKER-DEALER EXAMINATIONS.....	CLINTON D. STEARNS.....	600	652
CHIEF, BRANCH OF INVESTMENT COMPANY/ INVESTMENT ADVISER EXAMINATIONS NO. 1.....	JOHN CLARK.....	600	638
CHIEF, BRANCH OF INVESTMENT COMPANY/ INVESTMENT ADVISER EXAMINATIONS NO. 2.....	PAUL VANSCHYNDEL.....	600	640
CHIEF, BRANCH OF INVESTMENT COMPANY/ INVESTMENT ADVISER EXAMINATIONS NO. 3.....	ELIZABETH A. SALINI.....	600	637
CHIEF, BRANCH OF INVESTMENT COMPANY EXAMINATIONS NO. 1.....	JOSEPH MICK.....	600	647
CONSUMER AFFAIRS SPECIALIST.....	MARGARET LOHMAN.....	600	604

*DIAL DIRECT

REGION 1 (Continued)

PHILADELPHIA DISTRICT OFFICE
THE CURTIS CENTER, SUITE 1005 E.
601 WALNUT STREET
PHILADELPHIA, PENNSYLVANIA 19106-3322

FTS : 9-1-215-597-3100
COMMERCIAL : 9-1-215-597-3100
TDD/TTY : 9-1-215-597-0687
FAX (10TH FLOOR) : 9-1-215-597-5885
FAX (8TH FLOOR) : 9-1-215-597-2740
ANSWERING MACHINE : 9-1-215-597-5594
OFFICE HOURS : 8:30 - 5:00 EST
WASHINGTON TIME : 8:30 - 5:00

DISTRICT ADMINISTRATOR.....DONALD W. HOERL.....1005 597-3106
SECRETARY TO THE DISTRICT ADMINISTRATOR.....LAETITIA A. HOBAN.....1005 597-0686
ASSOCIATE DISTRICT ADMINISTRATOR.....JOY G. THOMPSON.....1005 597-6135
TRIAL COUNSEL.....RICHARD A. LEVAN.....1005 597-3933
ADMINISTRATIVE OFFICER.....BEVERLY SHAPIRO.....1005 597-3105

OFFICE OF ENFORCEMENT NO. 1

ASSISTANT DISTRICT ADMINISTRATOR.....MERRI JO GILLETTE.....1005 597-2936
TRIAL COUNSEL.....1005 597-
CHIEF, BRANCH 2.....ROBERT A. INTARTAGLIO.....1005 597-3382
CHIEF, BRANCH OF ACCOUNTING AND INVESTIGATIONS..PAUL F. BOEGGEMAN.....1005 597-3104
CONSUMER AFFAIRS SPECIALIST.....MARY P. COURCHAIINE.....1005 597-2278

OFFICE OF ENFORCEMENT NO. 2

ASSISTANT DISTRICT ADMINISTRATOR.....1005 597-
TRIAL COUNSEL.....DAVID S. HOROWITZ.....1005 597-2950
CHIEF, BRANCH 1.....MICHAEL J. NEWMAN.....1005 597-2939
CHIEF, BRANCH 3.....C. ANNETTE KELTON.....1005 597-2364

OFFICE OF REGULATION

ASSISTANT DISTRICT ADMINISTRATOR.....WILLIAM R. MECK.....1005 597-0789
SPECIAL COUNSEL.....THEODORE S. BLOCH.....1005 597-4040
CHIEF, INVEST. CO./INVEST. ADV BRANCH 1.....TIMOTHY M. SIMONS.....1005 597-3707
CHIEF, INVEST. CO./INVEST. ADV BRANCH 2.....STEPHEN L. CANDELA.....1005 597-3107
CHIEF, BRANCH OF BROKER-DEALER EXAM.....A. LAURENCE EHRHART.....1005 597-2983

REGION 2

Alabama, Florida, Georgia, Louisiana,
Mississippi, North Carolina, Puerto Rico,
South Carolina, Tennessee and Virgin Islands

SOUTHEAST REGIONAL OFFICE

1401 BRICKELL AVENUE, SUITE 200
MIAMI, FLORIDA 33131

FTS : 9-1-305-536-5765 plus 4 digit extension
FAX : 9-1-305-536-7465
OFFICE HOURS : 8:30 - 5:00 EST
WASHINGTON TIME: 8:30 - 5:00

Extension

REGIONAL DIRECTOR.....	CHARLES V. SENATORE.....	200	2275
SECRETARY TO REGIONAL DIRECTOR.....	PATRICIA L. CARR.....	200	2274
ASSOCIATE REGIONAL DIRECTOR.....	CHARLES C. HARPER.....	200	4851
SENIOR LITIGATION COUNSEL.....	GREGORY G. LITTLE.....	200	4770
SENIOR LITIGATION COUNSEL.....	GARY L. GOODENOW.....	200	6791
ADMINISTRATIVE CONTACT.....	L. ALEXANDRIA LEDEZMA.....	200	
PROGRAM SUPPORT ASSISTANT.....	FREDERICK LOCKETT.....	200	7468
ASSISTANT REGIONAL DIRECTOR (ENFORCEMENT).....	ROSE M. SCHINDLER.....	200	7456
CHIEF, BRANCH OF INVESTIGATIONS AND ENFORCEMENT NO. 1.....	STEPHEN L. COLE.....	200	2272
CHIEF, BRANCH OF INVESTIGATIONS AND ENFORCEMENT NO. 2.....	ERIC BUSTILLO.....	200	4865
CHIEF, BRANCH OF INVESTIGATIONS AND ENFORCEMENT NO. 3.....	KENNETH J. DARAS.....	200	7452
CHIEF, BRANCH OF BROKER-DEALER TRANSFER AGENT EXAMINATIONS.....	JOHN D. MAHONEY.....	200	7453
CHIEF, BRANCH OF INVESTMENT COMPANY AND INVESTMENT ADVISER EXAMINATIONS.....	CHARLES D. HOCHMUTH.....	200	4866
CONSUMER AFFAIRS SPECIALIST.....	LINDA T. SPARROW.....	200	7459

REGION 2 (Continued)

ATLANTA DISTRICT OFFICE

3475 LENOX ROAD, N.E.
 SUITE 1000
 ATLANTA, GEORGIA 30326-1232

LONG DISTANCE : 9-1-404-842-7600
 VOICE/TDD : 9-1-404-842-7676
 FAX : 9-1-404-842-7666
 OFFICE HOURS : 9:00 - 5:30 EST
 WASHINGTON TIME: 9:00 - 5:30

DISTRICT ADMINISTRATOR.....	RICHARD P. WESSEL.....	1000	842-7610
SECRETARY TO THE DISTRICT ADMINISTRATOR.....	A. ELAINE DURDEN.....	1000	842-7613
ASSOCIATE DISTRICT ADMINISTRATOR.....	RONALD L. CRAWFORD.....	1000	842-7630
DISTRICT COUNSEL.....	JOSEPH L. GRANT.....	1000	842-7660
DISTRICT TRIAL COUNSEL.....	WILLIAM P. HICKS.....	1000	842-7675
SENIOR TRIAL COUNSEL.....	RICHARD P. MURPHY.....	1000	842-7665
SENIOR TRIAL COUNSEL.....	EDWARD G. SULLIVAN.....	1000	842-7612
ADMINISTRATIVE OFFICER.....	CHARLES W. HEMPERLEY.....	1000	842-7650
ASSISTANT DISTRICT ADMINISTRATOR (ENFORCEMENT).....	JOHN E. BIRKENHEIER.....	1000	842-7620
CHIEF, BRANCH OF ENFORCEMENT NO. 1.....	WILLIAM C. WOODWARD, JR.	1000	842-7605
CHIEF, BRANCH OF ENFORCEMENT NO. 2.....	PAT HUDDLESTON.....	1000	842-7637
CHIEF, BRANCH OF ENFORCEMENT NO. 3.....	WILLIAM A. REES.....	1000	842-7609
CHIEF, OFFICE OF REORGANIZATION.....	E. GORDON ROBINSON, JR.....	1000	842-7625
ASSISTANT DISTRICT ADMINISTRATOR (REGULATION).....	KENNETH E. NEWMAN.....	1000	842-7645
CHIEF, BRANCH OF BROKER-DEALER AND TRANSFER			
AGENT EXAMINATIONS NO. 1.....	HOWARD DENNIS, JR.....	1000	842-7643
CHIEF, BRANCH OF BROKER-DEALER AND TRANSFER			
AGENT EXAMINATIONS NO. 2.....	RHONDA L. WILSON.....	1000	842-7647
ASSISTANT DISTRICT ADMINISTRATOR (REGULATION).....	JAMES E. LONG.....	1000	842-7640
CHIEF, BRANCH OF INVESTMENT COMPANY AND			
INVESTMENT ADVISER EXAMINATIONS.....	DIANE S. ECKERT.....	1000	842-7655
CHIEF, BRANCH OF SMALL ISSUES.....	GINA E. BAILEY.....	1000	842-7664
CONSUMER AFFAIRS SPECIALIST.....	VELLAMARAY GRAHAM.....	1000	842-7658

REGION 3

Illinois, Indiana, Iowa, Kentucky, Michigan,
Minnesota, Missouri, Ohio and Wisconsin

MIDWEST REGIONAL OFFICE

CITICORP CENTER
500 WEST MADISON STREET, SUITE 1400
CHICAGO, ILLINOIS 60661-2511

FTS : 9-1-312-353-7390
FAX : 9-1-312-353-7398
FAX : 9-1-312-886-8514
OFFICE HOURS : 8:45 - 5:15 CST
WASHINGTON TIME : 9:45 - 6:15

REGIONAL DIRECTOR.....	MARY KEEFE.....	1400	353-9338
SECRETARY TO THE REGIONAL DIRECTOR.....	VIVIAN E. STEPHENS.....	1400	353-9338
DEPUTY REGIONAL DIRECTOR.....	WILLIAM M. HEGAN.....	1400	353-7394
ASSOCIATE REGIONAL DIRECTOR (ENFORCEMENT).....		1400	353-7428
ASSOCIATE REGIONAL DIRECTOR (REGULATION).....	PATRICIA C. HOLLAND.....	1400	353-7402
SENIOR TRIAL COUNSEL.....	GREGORY P. VON SCHAUMBURG.....	1400	353-7418
SENIOR TRIAL COUNSEL.....		1400	353-7416
SENIOR SPECIAL COUNSEL.....	EDWARD L. HARMELIN.....	1400	886-8507
SENIOR SPECIAL COUNSEL.....	WILLIAM J. GAYNOR.....	1400	886-3947
SPECIAL COUNSEL.....	JOHN F. KERN.....	1400	353-7421
ADMINISTRATIVE OFFICER.....	WILBERTA M. MOULTHROP.....	1400	353-7399
CONSUMER AFFAIRS SPECIALIST.....	ROXY A. HESS.....	1400	353-1686
ASSISTANT REGIONAL DIRECTOR (OFFICE OF REGULATION NO. 1).....	MICHAEL J. O'ROURKE.....	1400	353-7436
BRANCH OF BROKER-DEALER AND TRANSFER AGENT EXAMINATIONS NO. 1.....	J. GARY HOPKINS.....	1400	353-7404
BRANCH OF BROKER-DEALER AND TRANSFER AGENT EXAMINATIONS NO. 2.....	VINCENT J. MARVIC.....	1400	886-1494
ASSISTANT REGIONAL DIRECTOR (OFFICE OF REGULATION NO. 2).....	LAWRENCE F. KENDRA.....	1400	886-1496
BRANCH OF BROKER-DEALER AND TRANSFER AGENT EXAMINATIONS NO. 3.....	GEORGE BUHAI-JACOBUS.....	1400	353-7405
BRANCH OF BROKER-DEALER AND TRANSFER AGENT EXAMINATIONS NO. 4.....	THOMAS F. MURPHY.....	1400	353-7425
ASSISTANT REGIONAL DIRECTOR (OFFICE OF REGULATION NO. 3).....	PHILIP D. HAUSKEN.....	1400	886-3956
BRANCH OF INVESTMENT COMPANY EXAMINATIONS NO. 1.....	MAUREEN S. DEMPSEY.....	1400	353-3368
BRANCH OF INVESTMENT COMPANY EXAMINATIONS NO. 3.....	CARL E. HOECK.....	1400	353-7219
BRANCH OF INVESTMENT COMPANY EXAMINATIONS NO. 4.....	DIANE M. FARLEY.....	1400	353-3944
ASSISTANT REGIONAL DIRECTOR (OFFICE OF REGULATION NO. 4).....	JOHN R. BRISSMAN.....	1400	886-8508
BRANCH OF INVESTMENT COMPANY EXAMINATIONS NO. 3.....	THOMAS N. KIRK.....	1400	886-3951
BRANCH OF INVESTMENT COMPANY EXAMINATIONS NO. 1.....	DOUGLAS R. ADAMS.....	1400	886-8505
BRANCH OF INVESTMENT COMPANY EXAMINATIONS NO. 2.....	RICHARD C. ANDERSEN.....	1400	886-8504
ASSISTANT REGIONAL DIRECTOR (OFFICE OF REGULATION NO. 5).....	JOHN R. LEE.....	1400	886-8513
SPECIAL COUNSEL.....	SHELDON B. MAZOR.....	1400	886-8500
BRANCH OF INTERPRETATIONS AND SMALL ISSUES.....	MAREILE B. CUSACK.....	1400	886-8501

REGION 3 Midwest Regional Office (Continued)

ASSISTANT REGIONAL DIRECTOR (ENFORCMENT NO. 1).....	TIMOTHY L. WARREN.....	1400	353-7651
BRANCH OF ENFORCEMENT NO. 2.....	JANE JARCHO.....	1400	353-5479
BRANCH OF ENFORCEMENT NO. 6.....	RONALD E. WOOD.....	1400	353-6249
ASSISTANT REGIONAL DIRECTOR (ENFORCMENT NO. 2).....	MARY H. WEISS.....	1400	353-7410
BRANCH OF ENFORCEMENT NO. 1.....	DAVID J. MEDOW.....	1400	886-0493
BRANCH OF ENFORCEMENT NO. 3.....	SCOTT B. HAMILTON.....	1400	353-7420
ASSISTANT REGIONAL DIRECTOR (ENFORCMENT NO. 3).....	ROBERT J. BURSON.....	1400	353-7423
BRANCH OF ENFORCEMENT NO. 4.....	CHRISTINE M. BERRY.....	1400	353-7397
BRANCH OF ENFORCEMENT NO. 5.....	JEANNETE LEWIS.....	1400	353-6313
ASSISTANT REGIONAL DIRECTOR (ENFORCMENT NO. 4).....	RANDALL J. FONS.....	1400	353-5453
BRANCH OF ENFORCEMENT NO. 7.....	JONATHAN H. STEIN.....	1400	353-5712
BRANCH OF ENFORCEMENT NO. 8.....	MARK R. BORRELLI.....	1400	353-7435
ASSISTANT REGIONAL DIRECTOR (ENFORCMENT NO. 5).....	STANLEY B. WHITTEN.....	1400	886-1679
BRANCH OF ENFORCEMENT NO. 1.....	EVELYN T. KENDRA.....	1400	353-7439
BRANCH OF ENFORCEMENT NO. 2.....	GEORGE J. MILLER.....	1400	353-7431

REGION 4

Arkansas, Colorado, Kansas, Nebraska, New Mexico, North Dakota, Oklahoma, South Dakota, Texas, Utah and Wyoming

CENTRAL REGIONAL OFFICE

1801 CALIFORNIA STREET, SUITE 4800
DENVER, COLORADO 80202-2648

FTS : 9-1-303-391-6800
TDD/TTY : 9-1-303-391-6800
FAX : 9-1-303-391-6868
OFFICE HOURS : 8:00 - 4:30 MST
WASHINGTON TIME: 10:00 - 6:30

REGIONAL DIRECTOR.....	ROBERT H. DAVENPORT.....	4800	391-6889
SECRETARY TO REGIONAL DIRECTOR.....	DIANE V. SIMMONS.....	4800	391-6889
ASSOCIATE REGIONAL DIRECTOR.....	JOHN J. KELLY, JR.....	4800	391-6840
CHIEF TRIAL COUNSEL.....	ROBERT M. FUSFELD.....	4800	391-6880
REGIONAL TRIAL COUNSEL.....	THOMAS D. CARTER.....	4800	391-6890
REGIONAL TRIAL COUNSEL.....	DAVID E. GRAVEN.....	4800	391-6846
REGIONAL GEOLOGIST.....	DAVID M. ABBOTT, JR.....	4800	391-6900
PROGRAM SUPPORT SPECIALIST.....	SANDRA E. SPEICHER.....	4800	391-6886
PROGRAM SUPPORT ASSISTANT.....	DEBORAH K. MCALEXANDER.....	4800	391-6885
ASSISTANT REGIONAL DIRECTOR (ENFORCEMENT NO.1).....	FRED L. CHAVEZ.....	4800	391-6860
SPECIAL COUNSEL, ENFORCEMENT NO. 1.....	LAWRENCE V. CHRIST.....	4800	391-6858
BRANCH CHIEF, INVESTIGATIONS AND ENFORCEMENT NO. 1.....	ANDRA P. OZOLS.....	4800	391-6838
BRANCH CHIEF, INVESTIGATIONS AND ENFORCEMENT NO. 2.....	DONALD C. DEAGLE.....	4800	391-6842
ASSISTANT REGIONAL DIRECTOR (ENFORCEMENT NO.2).....	EDWARD M. LEWKOWSKI.....	4800	391-6850
SPECIAL COUNSEL, ENFORCEMENT NO. 2.....	AMY J. NORWOOD.....	4800	391-6829
BRANCH CHIEF, INVESTIGATIONS AND ENFORCEMENT NO. 3.....	CYNTHIA A. MCMAHON.....	4800	391-6845
BRANCH CHIEF, INVESTIGATIONS AND ENFORCEMENT NO. 2.....		4800	391-6825
ASSISTANT REGIONAL DIRECTOR (REGULATION).....	JAMES E. BIRCHBY.....	4800	391-6870
SPECIAL COUNSEL (BD REGULATION).....	KATHLEEN U. RADINSKY.....	4800	391-6861
SPECIAL COUNSEL (IC/IA REGULATION).....	WELDON H. SCHWARTZ.....	4800	391-6879
BRANCH CHIEF, IC/IA EXAMINATIONS.....	FRANK J. PAVLAK.....	4800	391-6873
BRANCH CHIEF, FULL DISCLOSURE.....	MARTHA S. FULFORD.....	4800	391-6800
BRANCH CHIEF, BROKER-DEALER EXAMINATIONS NO. 1.....	THOMAS J. AMY.....	4800	391-6871
BRANCH CHIEF, BROKER-DEALER EXAMINATIONS NO. 2.....	SCOTT M. JOY.....	4800	391-6854
CONSUMER AFFAIRS SPECIALIST.....	RHONDA J. ERICKSON.....	4800	391-6810

REGION 4 (Continued)

FORT WORTH DISTRICT OFFICE
801 CHERRY STREET
19TH FLOOR
FORT WORTH, TEXAS. 76102

FTS : 9-1-817-334-3821
TDD : 9-1-817-334-3821
FAX NO. 1 : 9-1-817-334-2700
NO. 2 : 9-1-817-334-2809
OFFICE HOURS : 8:30 - 5:00 CST
WASHINGTON TIME : 9:30 - 6:00

DISTRICT ADMINISTRATOR.....	T. CHRISTOPHER BROWNE.....	1911	885-6469
SECRETARY TO THE DISTRICT ADMINISTRATOR.....	JOYCE A. EVILZISOR.....	1914	885-6470
DISTRICT TRIAL COUNSEL.....	STEPHEN WEBSTER.....	1905	885-6459
ADMINISTRATIVE OFFICER.....	LINDA B. PITT.....	1916	885-6471
ASSISTANT DISTRICT ADMINISTRATOR (ENFORCEMENT).....	HUGH M. WRIGHT.....	1922	885-6474
BRANCH CHIEF, ENFORCEMENT NO. 1.....	VICTORIA F. PRESCOTT.....	1924	885-6468
BRANCH CHIEF, ENFORCEMENT NO. 2.....	KATHERINE S. ADDLEMAN.....	1960	885-6448
BRANCH CHIEF, ENFORCEMENT NO. 3.....	BARRY Y. GREENBERG.....	1971	885-6460
ASSISTANT DISTRICT ADMINISTRATOR (REGULATION).....	MARY LOU FELSMAN.....	1999	885-6425
SENIOR COUNSEL.....	THOMAS J. BAUDHUIN.....	1991	885-6466
BRANCH CHIEF, IC/IA NO. 1.....	JAMES H. PERRY.....	1989	885-6439
BRANCH CHIEF, IC/IA NO. 2.....	ROBERT B. PIKE.....	1984	885-6444
BRANCH CHIEF, BD/TA.....	NORMAN M. WALSH III.....	1908	885-6431
CONSUMER AFFAIRS SPECIALIST.....	BARBARA A. RAY.....	1904	885-6465

SALT LAKE DISTRICT OFFICE

500 KEY BANK TOWER
50 S. MAIN STREET, SUITE 500
BOX 79
SALT LAKE CITY, UTAH 84144-0402

FTS : 9-1-801-524-5796
FAX : 9-1-801-524-3558
OFFICE HOURS : 8:00 - 4:30 MST
WASHINGTON TIME: 10:00 - 6:30

DISTRICT ADMINISTRATOR.....	KENNETH D. ISRAEL.....	500	524-6745
SECRETARY.....	SCOTTY ZAMORA.....	500	524-5798
DISTRICT TRIAL COUNSEL.....	THOMAS M. MELTON.....	500	524-6748
BRANCH CHIEF, ENFORCEMENT.....	WILLIAM B. MCKEAN.....	500	524-6742
BRANCH CHIEF, REGULATION.....	FLOYD G. HASTINGS.....	500	524-6739
PARALEGAL SPECIALIST.....	DIANA WILKINSON.....	500	524-3135

REGION 5

Alaska, Arizona, California, Guam, Hawaii,
Idaho, Montana, Nevada, Oregon and Washington

PACIFIC REGIONAL OFFICE

5670 WILSHIRE BOULEVARD
11TH FLOOR
LOS ANGELES, CALIFORNIA 90036-3648

GENERAL INFORMATION: 9-1-213-965-3998
FAX : 9-1-213-965-3816 (Regional Director)
9-1-213-965-3815 (Admin./Regulation - 11th)
9-1-213-965-3813 (Assoc. Enforcement)
9-1-213-965-3812 (Enforcement - 10th)
OFFICE HOURS : 8:30 - 5:00 PST
WASHINGTON TIME : 11:30 - 8:00

REGIONAL DIRECTOR.....	ELAINE M. CACHERIS.....	11TH	965-3807
SECRETARY TO THE REGIONAL DIRECTOR.....	KATHY S. CASH.....	11TH	965-3912
ADMINISTRATIVE OFFICER.....	SYLVIA M. COHEN.....	11TH	965-3906
COMPUTER SPECIALIST.....	MAI T. NGUYEN.....	11TH	965-3926

OFFICE OF ENFORCEMENT

ASSOCIATE REGIONAL DIRECTOR.....		10TH	965-3962
REGIONAL TRIAL COUNSEL.....	ROBERT D. LAFRAMENTA.....	10TH	965-3839
SENIOR TRIAL COUNSEL.....	KAREN L. MATTESON.....	10TH	965-3840
ASSISTANT REGIONAL DIRECTOR (ENFORCEMENT NO. 1).....	SANDRA J. HARRIS.....	10TH	965-3833
CHIEF, ENFORCEMENT BRANCH NO. 2.....	J. LAUCLAN WASH.....	10TH	965-3968
CHIEF, ENFORCEMENT BRANCH NO. 3.....	DIANA K. TANI.....	10TH	965-3970
ASSISTANT REGIONAL DIRECTOR (ENFORCEMENT NO. 2).....	LISA GOK.....	10TH	965-3992
CHIEF, ENFORCEMENT BRANCH NO. 1.....	HELEN J. MOORE.....	10TH	965-3966
CHIEF, ENFORCEMENT BRANCH NO. 3.....	ARTHUR W. RICHARDSON.....	10TH	965-3978
ASSISTANT REGIONAL DIRECTOR (ENFORCEMENT NO. 3).....	KELLY BOWERS.....	10TH	965-3962
CHIEF, ENFORCEMENT BRANCH NO. 4.....	ARIAN COLACHIS.....	10TH	965-3972
CHIEF, ENFORCEMENT BRANCH NO. 6.....	EUGENE G. HORWITZ.....	10TH	965-3850

OFFICE OF REGULATION

ASSOCIATE REGIONAL DIRECTOR.....	ROSALIND R. TYSON.....	11TH	965-3893
SPECIAL COUNSEL.....	SARAH D. MOYED.....	11TH	965-3896
ASSISTANT REGIONAL DIRECTOR (REGULATION NO. 1).....	MICHAEL P. LEVITT.....	11TH	965-3940
CHIEF, BRANCH OF IC/IA EXAMINATION NO. 1.....	ROBERT E. PLATT.....	11TH	965-3932
CHIEF, BRANCH OF IC/IA EXAMINATION NO. 2.....	PAULA B. WEISER.....	11TH	965-3927
CHIEF, SMALL ISSUES AND INTERPRETATIONS.....	FREDERICK B. GOSS.....	11TH	965-3991
ASSISTANT REGIONAL DIRECTOR (REGULATION NO. 2).....	STAN C. MAEKAWA.....	11TH	965-3922
CHIEF, BRANCH OF BD EXAMINATIONS NO. 1.....	GLORIA P. LUMBA.....	11TH	965-3984
CHIEF, BRANCH OF BD EXAMINATIONS NO. 2.....	CINDY S. WONG.....	11TH	965-3985
CONSUMER AFFAIRS SPECIALIST.....	DOLORES E. GRAYSON.....	11TH	965-3952

REGION 5 (Continued)

SAN FRANCISCO DISTRICT OFFICE
44 MONTGOMERY STREET
SUITE 1100
SAN FRANCISCO, CALIFORNIA 94104

COMMERCIAL : 9-1-415-705-2500
FAX : 9-1-415-705-2501
OFFICE HOURS : 8:30 - 5:00 PST
WASHINGTON TIME : 11:30 - 8:00

DISTRICT ADMINISTRATOR.....	DAVID B. BAYLESS.....	1100	705-2500
SECRETARY TO THE DISTRICT ADMINISTRATOR.....	JOSETTA L. YEE.....	1100	705-2500
SENIOR TRIAL COUNSEL.....	LAWRENCE L. KISER.....	1100	705-2500
SENIOR TRIAL COUNSEL.....	MELVYN H. RAPPAPORT.....	1100	705-2500
SENIOR TRIAL COUNSEL.....	GARY LLOYD.....	1100	705-2500
PROGRAM SUPPORT ASSISTANT.....		1100	705-2500
ASSISTANT DISTRICT ADMINISTRATOR (ENFORCEMENT).....	ROBERT H. SINGLETARY.....	1100	705-2500
CHIEF, ENFORCEMENT BRANCH 1.....	STEVEN M. SCHANTZ.....	1100	705-2500
CHIEF, ENFORCEMENT BRANCH 2.....		1100	705-2500
ASSISTANT DISTRICT ADMINISTRATOR (REGULATION).....	RICHARD A. CASTRO.....	1100	705-2500
CHIEF, BRANCH OF IC/IA EXAMINATION NO. 1.....		1100	705-2500
CHIEF, BRANCH OF IC/IA EXAMINATION NO. 2.....	DARYL HAGEL.....	1100	705-2500
CHIEF, BRANCH OF BD EXAMINATION.....	JOHN J. BRUNS.....	1100	705-2500
CHIEF, CORPORATE REORGANIZATION.....	ALLEN F. COROTTO.....	1100	705-2500
CONSUMER AFFAIRS SPECIALIST.....	JUNE D. ZALUMIS.....	1100	705-2500

PROGRAM INFORMATION GUIDE

PROGRAM	NAME	ORG. CODE	ROOM NO.	STOP CODE	TELEPHONE NUMBER
ACCOMMODATIONS OF DISABILITIES (See Disability and SEC Employment)					
ACCOUNTANTS:					
Disciplinary Proceedings.....	Micheal Kigin	CA	9054	9-5	942-4400
Qualifications to Practice.....	Michael Kigin	CA	9054	9-5	942-4400
	Robert Lowry	CA	9093	9-5	942-4400
ACCOUNTING					
General Registration Information....	Robert A. Bayless	CF	3202	3-12	942-2850
ACQUISITIONS & TENDER OFFERS [Schedules 13D and 14D]					
Interpretations & Policy.....	Office of Tender Offers	CF	3052	3-4	942-2920
Economic Analysis.....	Robert Comment	OEA	9009	9-1	942-8036
Enforcement Questions.....	Joseph I. Goldstein	ENF	4012	4-6	942-4560
	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
ADDRESS UPDATE OF REGISTRANTS.....	Quality Control	OFIS	900	A-1	000-4475#
ADMINISTRATIVE PROCEEDINGS.....	Administrative Unit	OS			942-7070
ADMINISTRATIVE PROCEDURE ACT.....	Diane Sanger	GC	6173	6-6	942-0960
ADMINISTRATIVE REGULATIONS.....	Rogell W. Burkett	OAPM	2047	2-3	942-4056
ADP SYSTEMS INFORMATION					
Administrative Management Systems....	Charlotte Brown	OIT	1248	0-2	942-8814
Disclosure & Regulatory Systems.....	Pamela Johnson	OIT	2262	0-5	942-8833
Enforcement Systems.....	Charles F. Kirby	OIT	1216	0-2	942-8894
Forms - ADP Coordination.....	Office of the Director	OIT	1118	0-1	942-8999
Liaison.....	Office of the Director	OIT	1118	0-1	942-8999
Operations and Production Mgmt.....	Francois A.C. DeBuck	OIT	1226	0-5	942-8878
Regional Office Coordinator.....	Office of the Director	OIT	1120	0-1	942-8999
Systems Technology.....	Eric Malmstrom	OIT	1402	0-2	942-8883
ADP AND TELECOMMUNICATIONS SECURITY...	Gregory W. Jones, Sr.	OIT	2208	0-4	942-8834
ADVANCE OF FUNDS.....	Sandra L. Anderson	OC	2092	2-5	942-0380
AEROSPACE, AIRCRAFT & PARTS industry group.....					
	John C. Roycroft	CF	7027	7-2	942-1960
AFFIRMATIVE EMPLOYMENT PROGRAM INFORMATION.....					
	Darren Goebels	EEO	2177	2-12	942-0056
	Karen M. Smith	EEO	2177	2-12	942-0055
		EEO	2177		942-9546*
	Nancy Wolynetz	OAPM	2145	2-2A	942-4091
					942-4075 (TTY)
AFTER HOURS (ONLY) SHUTTLE SERVICE FOR JUDICIARY PLAZA.....					
Hrs. of Operation (6 p.m. - 8:00 p.m.)	Car Phone				9-374-7508
	Pager				9-996-6596
AMICUS CURIAE PARTICIPATION BY THE SEC.....					
	Jacob Stillman	GC	6078	6-6	942-0930
ANNEX (OPERATIONS CENTER).....					
Security (Annex).....					942-8642
					942-8970x4100
ANNUAL REPORT OF THE SEC					
Submission of material.....	Dariene Pryor	OED	9116	9-8	942-4307
Copies of - SEC Staff Only.....	Publications	OAPM	3C38	C-11	942-4040
- Public.....	U.S. Government Printing Office				9-783-3238

APPAREL & TEXTILES industry group.....	H. Christopher Owings	CF	7081	7-5	942-1900
APPEALS FROM INJUNCTION ACTIONS AND ADMINISTRATIVE PROCEEDINGS.....	Jacob Stillman	GC	6078	6-6	942-0930
APPEALS OF SRO DISCIPLINARY ACTIONS (Rule 19d-3).....	Robert W. Lowry, Jr.	MR	5131	5-1	942-0737
Clearing Agencies.....	Ester Saverson	MR	5176	5-1	942-0165
National Securities Associations.....	Katherine A. England	MR	5200	5-1	942-0154
National Securities Exchanges.....		MR	5185	5-1	942-0186
APPLIANCES industry group.....	Steven C. Duvall	CF	3072	3-5	942-1950
APPLICATION FOR EMPLOYMENT.....	Personnel	OAPM	2029	2-3	942-4054
ARBITRATION.....	Consumer Affairs	OS		2-6	942-7040
Arbitration Pamphlets.....	Publications	OAPM	3C38	C-11	942-4040
ASIAN/PACIFIC AMERICAN PROGRAM INFORMATION.....	Darren Goebels	EEO	2177	2-12	202-942-0056
Regions.....	Antonita Caraan	MRO			312-353-6881
	Sandra Speicher	CRO			303-391-6886
	F.C. Weinstein	PDO			215-587-3100
	EEO	EEO			202-942-9546*
ASSIGNMENTS (Branch)					
1933 - 1939 Acts (SEC staff only)...	Branch Chief	OFIS	1005	1-4	942-8050
1934 - 1940 Acts (SEC staff only)...	Branch Chief	OFIS	1005	1-4	942-8050
Public.....	Public Reference	OFIS	1024	1-2	942-8090 942-8092*
ATTESTATIONS.....	Quality Control	OFIS	900	A-1	000-4475#
AUDITS - Internal Commission.....	Walter Stachnik	DIG	7010	7-9	942-4460
AUTOMOTIVE & OTHER VEHICLES industry group.....	James M. Daly	CF	3134	3-10	942-1800
BANKRUPTCY REORGANIZATIONS					
Legal.....	Michael A. Berman	GC	6119	6-6	942-0810
Records.....	Teri M. Swanson	GC	6121	6-6	942-0956
BANKS					
Complaints.....	Consumer Specialists	CAIS	2115	2-6	942-7040
As Transfer Agents.....	Ester Saverson, Jr.	MR	5179	5-1	942-0165
BANKS and SAVINGS & LOANS industry group.....	A. Richard Tow	CF	3167	3-11	942-1760
BENEFICIAL OWNERSHIP -					
Reports under §13 of '34 Act.....	Office of Tender Offers	CF	3052	3-4	942-2920
Forms 3 and 4 (Blank).....	Publications	OAPM	3C38	C-11	942-4040
Forms 3 and 4 (Completed).....	Public Reference	OFIS	1024	1-2	942-8090 942-8092*
BEVERAGES industry group.....	John C. Roycroft	CF	7027	7-2	942-1960
BLACK EMPLOYMENT PROGRAM COMMITTEE....	Sonja Addison	EEO	2171	2-12	942-0051
	Darren Goebels	EEO	2171	2-12	942-0056 942-9546*
BLUE SKY LAWS.....	Alfred E.T. Rusch	ENF	5116	5-4	942-4774
BROKER-DEALER DIRECTORY - UPDATE.....	Registrations & Exams	OFIS	200	A-2	942-8980

*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
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BROKER-DEALERS

Application for registration					
Staff.....	Publications	OAPM	3C38	C-11	942-4040
Public.....					942-4046
Complaints.....	Consumer Specialists	OS	2130	2-6	942-7040
Confirmations (Rule 10b-10).....	Robert Love	MR	7121	7-10	942-0073
Customer Protection/Reserve Requirement (Rule 15c3-3).....	Michael A. Macchiaroli	MR	5048	5-1	942-0132
Directory of.....	Registrations & Exams	OFIS	200	A-2	942-8980
Discount Brokers.....	Robert L.D. Colby	MR	5006	5-1	942-0094
Economic Analysis.....	William J. Atkinson	OEA	9181	9-1	942-8020
Examination Program.....	Leonard Unger	MR	5134	5-1	942-0736
Qualification Exams.....	NASD				9-728-8800
Files.....	Records Management	OFIS	500	A-3	000-4650
Financial Reporting.....	Roger Coffin	MR	5060	5-1	942-0136
	Michael A. Macchiaroli	MR	5197	5-1	942-0132
Financial Responsibility.....	Timothy Thompson	MR	5056	5-1	942-0138
Foreign.....	Robert L.D. Colby	MR	5006	5-1	942-0094*
Foreign Control Locations.....	Timothy Thompson	MR	5056	5-1	942-0138
Free Credit Balance (Rule 15c3-2)...	Michael A. Macchiaroli	MR	5048	5-1	942-0132
Hypothecations (Rules 8c-1, 15c2-1).....	Michael A. Macchiaroli	MR	5048	5-1	942-0132
Industry Studies.....	Terry M. Chuppe	OEA	9002	9-1	942-2788
	William J. Atkinson	OEA	9181	9-1	942-8020
	Vance Anthony	OEA	9170	9-1	942-8029
Investor Complaints.....	Consumer Specialists	OS	2130	2-6	942-7040
	Katherine A. England	MR	5200	5-1	942-0064
	Robert Love	MR	7121	7-10	942-0064
Municipal Securities.....	Janet Russel-Hunter	MR	7123	7-10	942-0073
	Michael A. Macchiaroli	MR	5048	5-1	942-0132
	Robert L.D. Colby	MR	5006	5-1	942-0094
Net Capital.....	Timothy Thompson	MR	5056	5-1	942-0138
Qualifications.....	Katherine A. England	MR	5200	5-1	942-0154
	Richard Pullano	MR	5126	5-1	942-0752
Re-entry Applications.....	Thomas D. Hamill	ENF	4199	4-8	942-4636*
Recordkeeping.....	Roger Coffin	MR	5060	5-1	942-0136
Registration package.....	Publications	OAPM	3C38	C-11	942-4040
Registrations.....	Registrations & Exams	OFIS	200	A-2	942-8980
Registration Requirements.....	Chief Counsel	MR	7120	7-10	942-0073
Rule 17a-3.....	Roger Coffin	MR	5060	5-1	942-0136

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Rule 17a-4.....	Roger Coffin	MR	5060	5-1	942-0136
Rule 17a-11.....	Michael A. Macchiaroli	MR	5048	5-1	942-0132
Rules 19d-1.....	Richard Puliano	MR	5126	5-1	942-0752
Service Bureau Records (Rule 17a-4).	Michael A. Macchiaroli	MR	5048	5-1	942-0132
SIPC.....	Michael A. Macchiaroli	MR	5048	5-1	942-0132
Statistics.....	Carol Charnock	MR	5061	5-1	942-0142
	Vance Anthony	OEA	9170	9-1	942-8020
Withdrawal.....	Registrations & Exams	OFIS	200	A-2	942-8980
BUDGET MATTERS.....	James Taylor	OC	2082	2-5	942-0350
BUILDING MAINTENANCE (Judiciary Plaza).	Harry Fleming	OAPM	2C00	C-8	942-4010
Alterations.....	Harry Fleming	OAPM	2C00	C-8	942-4010
Heating and Cooling.....	Harry Fleming	OAPM	2C00	C-8	942-4010
Security.....	Harry Fleming	OAPM	2C03	C-8	942-4010
BUILDING MAINTENANCE (Operations Center)	Joe Williams	OAPM	1414	0-12	942-4975
Heating and Cooling.....	Joe Williams	OAPM	1414	0-12	942-4975
Security.....	Joe Williams	OAPM	1414	0-12	942-4975
BUILDING MATERIALS, CONTRACTORS & RELATED SERVICES industry group.....	Steven Duvall	CF	3072	3-5	942-1950
BULLETIN BOARDS.....	Michelle Walker	OAPM	2C14	C-8	942-4110
CALENDAR ITEMS.....		OS	6183	6-9	942-7070
CAPITAL MARKETS					
Capital Formation Studies.....	Terry Chuppe	OEA	9002	9-1	942-8020
New Issues Markets.....	William C. Dale	OEA	9189	9-1	942-8020
Securities Trading Statistics.....	William J. Atkinson	OEA	9181	9-1	942-8020
CAR POOLS.....	Paula Frohman	OAPM	2037	2-2	942-4057
CAR RENTALS.....	See Motor Pool				
CATS [Case Activity Tracking System]..	Debra Kittredge	ENF	4041	4-3A	942-4674
CERTIFICATIONS (Attestations) & Proof of Official Record.....	Quality Control	OFIS	900	A-1	000-4475#
CHEMICALS industry group.....	A. Richard Tow	CF	3167	3-11	942-1760
CIRCUIT COURT					
1st Circuit.....	James Brigagliano	GC	6128	6-6	942-0826
2nd Circuit.....	Walter Stahr	GC	6101	6-6	942-0888
3rd Circuit.....	Daniel Hirsch	GC	6144	6-6	942-0870
4th Circuit.....	Martha McNeely	GC	6100	6-6	942-0913
5th Circuit.....	Leslie Smith	GC	6117	6-6	942-0944
6th Circuit.....	Eric Summergrad	GC	6101	6-6	942-0911
7th Circuit.....	Katharine Gresham	GC	6096	6-6	942-0810

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