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SPK ~~AFDF~~ - Advisory Council

SECURITIES AND EXCHANGE COMMISSION HISTORICAL SOCIETY

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

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To: Advisory Council Members

From: Elisse Walter, Vice President – Volunteer Leaders /cr

Date: June 24, 2004

Subject: List + Questionnaire for Advisory Council

Enclosed is a current list of the 2004-05 Advisory Council members. Please check your information and update as needed on the enclosed questionnaire.

The questionnaire will also give us a clearer picture of what you envision for the Advisory Council, as well as what each of you would like to do for 2004-05.

Please complete the questionnaire and return it to the Society by fax (202-585-6404) or postal mail (Securities and Exchange Commission Historical Society, 1001 Pennsylvania Avenue NW, Suite 810 South, Washington, D.C. 20004-2505) by July 30th.

Based on your responses, we will call a meeting of the Advisory Council sometime this fall to develop the charter and to determine a meeting schedule for the year.

If you have any questions at this time, please contact the Society by telephone (202-585-6405) or email (c.rosati@sechistorical.org).

We look forward to working with you.

EXECUTIVE DIRECTOR
Carla L. Rosati, CFRE

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

2004-05 SEC Historical Society Advisory Council Questionnaire Information
as of July 16, 2004

Criteria for Council Participation

- 5-year minimum career experience “demonstrating an interest in the work of the SEC.”
- Attend Annual Meeting.
- Commitment to identifying and organizing programs.
- Contribute (3 members).
- Contribute ideas and effort.
- Demonstrated interest in goals of Society.
- Enhance Society and its functions.
- Greater representation of Wall Street firms.
- Historic experience with SEC.
- Identify fundraising contacts.
- Regular/mandatory attendance requirement. *Also*, Devote sufficient time to Advisory Council.
- Responsive when called upon (2 members).
- Sincere interest in actively participating in the goals/activities of the Society.
- Strategize on context fundraising and marketing.

Roles/Functions for the Council

- Add to the content of the virtual museum’s materials for scholars, professionals, media, investors.
- Assist Board of Trustees in promoting goals of Society.
- Assist with fundraising (2 members)
- Brainstorm new ideas on how to make the Society better overall (2 members)
- Provide concrete ways to make Society more visual.
- Commitment to conducting at least oral history interview per year with significant alumni.
- Identify areas of focus for the museum.
- Expand membership in other cities beyond DC and NY.
- Provide outreach network for projects and development.
- Raise awareness of the Society.
- Serve as historical resource.
- Serve as a sounding board on projects and ideas (2 members)

Goal or Activity for the Society for 2004-05

- Broader visibility and membership.
- Commence a virtual museum section that details the “legislative history” of key SEC regulations, such as Rule 10b-5, Rule 144, Reg S.
- Develop action plans with time frame for implementation.

- Increase and broaden diversity, especially younger people, among the Society's volunteers and members.
- Organize a symposium on future of the SEC – the next 70 years.
- Program on history of SEC in cases before the Supreme Court, and get participation by a Supreme Court Justice.
- Promote the legacy of all men and women who have served the SEC. [The museum] currently has an elitist feel as it only contains photos, interviews, etc. of Commissioners or the most senior staff. Important memories and perspectives should come from others as well.
- Include history of the SEC regional offices. We should aim to interview former regional staffers at all levels, and have a separate section for the regional offices.
- Ensure gathering of speeches or mementos from Commissioners and Division Directors, including: MOUs, with other agencies, if possible; annual pictures with staff, etc.

How often would you like to receive updates:

- monthly - 2
- quarterly – 10
- bi-annually – 0

In what format:

- postal mail - 1
- email - 9
- both formats – 2

Advisory Council meetings – frequency:

- quarterly - 4
- bi-annually - 7
- once a year – 1

Advisory Council meetings – format:

- in DC, with conference call capability – 10
- in NY, with conference call capability – 7
- in another site, with conference call capability – 2
- conference call only – 0

2004 – 05 SEC Historical Society Advisory Council Questionnaire

PLEASE PRINT

Name: _____

Please update your information on the Advisory Council list:

Firm: _____

Address: _____

Telephone: (_____) _____ FAX (_____) _____

Email: _____

Assistant: _____

Assistant Telephone: (_____) _____

Assistant Email: _____

- We would like to develop a charter for the Advisory Council, and revise both our criteria for participation and principal roles and functions for the Council. What would you suggest?

Criteria for Council Participation:

- 1) _____
- 2) _____
- 3) _____

Roles/Functions for the Council:

- 4) _____
- 5) _____
- 6) _____

- What goal or activity would you like to see the Society accomplish by June 1, 2005?

- How often would you like to receive updates on the Society?
___ monthly ___ quarterly ___ bi-annually

- *In what format?* _____ postal mail _____ email _____ both formats
- *When the Advisory Council meets as a group, how often should it meet?*
 _____ quarterly _____ bi-annually _____ once a year
- *Where and how should the Advisory Council meet?*
 _____ at a site in Washington, D.C., with conference call availability
 _____ at a site in New York City, with conference call availability
 _____ at an alternate site (_____), with conference call availability
 _____ by conference call only
- *In order to form classes among the Advisory Council, we would like to create a 1-year term class (class of 2005), a 2-year term class (class of 2006) and a 3-year term class (class of 2007). All classes will have the opportunity for re-appointment. To what class would you like to be appointed?* _____ class of 2005 _____ class of 2006 _____ class of 2007 _____ no preference
- *With what standing or virtual museum committee would you like to work for 2004-05?*

Standing Committees

- _____ Audit
- _____ Budget and Finance
- _____ Development
- _____ Membership
- _____ Nominating

Virtual Museum Committees

- _____ Chief Accountant's Office
- _____ Commission
- _____ Corporation Finance
- _____ Enforcement
- _____ General Counsel's Office
- _____ Investment Management
- _____ Market Regulation

- *We ask all Advisory Council members to commit to making a gift as an individual, through their firm, or both. Would you prefer to give in 2004-05:*
 _____ as an individual
 _____ through my firm
 _____ both
- *If you are giving as an individual, in what range are you likely to give in 2004-05?*
 _____ \$100 - \$249 _____ \$1,000 - \$2,499
 _____ \$250 - \$499 _____ \$2,500 - \$4,999
 _____ \$500 - \$999 _____ \$5,000 or more
- *Any other suggestions about the Advisory Council or the Society at this time?*

Please return by FAX (202-585-6404) or postal mail (Securities and Exchange Commission Historical Society, 1001 Pennsylvania Avenue NW, Suite 810 South, Washington, D.C. 20004-2505) by July 30th.

THANK YOU.