

CLASSIFIED

# CLASSIFIED SECTION

## THE COMMISSION

	Room	Zip+4	Area Code (202)
<b>CHAIRMAN</b> .....	6000	0601	942-0100
EXECUTIVE ADMINISTRATIVE ASST.....	6000	0601	942-0100
EXECUTIVE SCHEDULER ASST.....	6000	0601	942-0100
MANAGING EXEC./POLICY AND STAFF.....	6000	0601	942-0100
MANAGING EXEC./OPERATIONS.....	6000	0601	942-0100
SECRETARY/ASSISTANT TO DERBY.....	6000	0601	942-0100
ASST. TO VON BARGEN.....	5000	0601	942-0100
MANAGING EXEC./EXTERNAL AFFAIRS.....	6000	0601	942-0100
SECRETARY/ASSISTANT TO COX.....	6000	0601	942-0100
SECRETARY.....	6000	0601	942-0100
COUNSEL TO THE CHAIRMAN.....	6000	0601	942-0120
COUNSEL TO THE CHAIRMAN.....	6000	0601	942-0120
COUNSEL TO THE CHAIRMAN.....	6000	0601	942-0120
COUNSEL TO THE CHAIRMAN.....	6000	0601	942-0120
CHIEF SPEECH WRITER/SENIOR ADVISOR TO THE CHAIRMAN.....	6000	0602	942-0100
EXEC. CORRESPONDENCE COORD.....	2504	0211	942-0112
EXEC. CORRESPONDENCE ASST.....	2502A0211		942-0112
EXEC. CORRESPONDENCE ASST.....	2502D0211		942-0112
FAX.....			942-9646
 <b>COMMISSIONER</b> .....	 6520	 0610	 942-0700
COUNSEL.....	6520	0610	942-0700
COUNSEL.....	6520	0610	942-0700
COUNSEL.....	6520	0610	942-0700
CONFIDENTIAL ASSISTANT.....	6520	0610	942-0700
FAX.....			942-9521
 <b>COMMISSIONER</b> .....	 6200	 0607	 942-0600
COUNSEL.....	6200	0607	942-0600
COUNSEL.....	6200	0607	942-0600
COUNSEL.....	6200	0607	942-0600
CONFIDENTIAL ASSISTANT.....	6200	0607	942-0600
FAX.....			942-9666
 <b>COMMISSIONER</b> .....	 6300	 0608	 942-0800
COUNSEL.....	6300	0608	942-0800
COUNSEL.....	6300	0608	942-0800
COUNSEL.....	6300	0608	942-0800
CONFIDENTIAL ASSISTANT.....	6300	0608	942-0800
FAX.....			942-9563
 <b>COMMISSIONER</b> .....	 6120	 0605	 942-0500
COUNSEL.....	6120	0605	942-0500
COUNSEL.....	6120	0605	942-0500
COUNSEL.....	6120	0605	942-0500
CONFIDENTIAL ASSISTANT.....	6120	0605	942-0500
FAX.....			942-9647

## OFFICE OF THE SECRETARY

<b>SECRETARY</b> .....	5507	0609	942-7070
SECRETARY.....	6500	0609	942-7082
ASSISTANT SECRETARY.....	6502	0609	942-7074
ASSISTANT SECRETARY.....	6502	0609	942-7079
DEPUTY SECRETARY.....	6501	0609	942-7070
LIBRARY DIRECTOR.....	1C00	0002	942-7090
ADMINISTRATIVE CONTACT.....	6500	0609	942-7082

GENERAL COUNSEL, Office of the Associate General Counsel (Continued)

LEGAL POLICY  
OFFICE OF THE ASSOCIATE GENERAL COUNSEL FOR LEGAL POLICY

	Room	Zip+4	Area Code (202)
PRINCIPAL ASSOC. GENERAL COUNSEL FOR LEGAL POLICY.....MERIDITH MITCHELL.....	6140	0606	942-0834
SENIOR SPECIAL COUNSEL.....ANDREW GLICKMAN.....	6413	0606	942-0947
ASSOCIATE GENERAL COUNSEL FOR COUNSELING AND REGULATORY POLICY....DIANE SANGER.....	6422	0606	942-0960
ASSISTANT GENERAL COUNSEL FOR LEGISLATION AND FINANCIAL SERVICES...STEPHEN JUNG.....	6409	0606	942-0927
ASST. GENERAL COUNSEL FOR INVESTMENT MANAGEMENT, PUHCA AND ADMIN. LAW....ARTHUR LABY.....	6419	0606	942-0958
ASSISTANT GENERAL COUNSEL FOR MARKET REGULATION.....JANICE MITNICK.....	6407	0606	942-0935
SENIOR SPECIAL COUNSEL.....JACOB LESSER.....	6404	0606	942-0988
ASST. GENERAL COUNSEL FOR CORPOR- ATION FINANCE AND ACCOUNT.....DAVID FREDERICKSON.....	6421	0606	942-0968
SENIOR SPECIAL COUNSEL.....VACANT.....	6404	0606	942-
ASSISTANT GENERAL COUNSEL FOR ENFORCEMENT MATTERS.....RICHARD A. LEVINE.....	6411	0606	942-0886

ADJUDICATION  
OFFICE OF THE ASSOCIATE GENERAL COUNSEL FOR ADJUDICATION

ASSOCIATE GENERAL COUNSEL FOR ADJUDICATION.....ANNE E. CHAFER.....	6144	0606	942-0950
PRINCIPAL ASST. GENERAL COUNSEL.....JOAN L. LOIZEAUX.....	2109	0208	942-0990
ASSISTANT GENERAL COUNSEL FOR ADJUDICATION.....EVA MARIE CARNEY.....	2116	0208	942-0980
ASSISTANT GENERAL COUNSEL.....KERMIT KENNEDY.....	2102	0208	942-9098
SPECIAL COUNSEL.....VACANT.....		0208	942-
COUNSELOR FOR ADJUDICATION.....WILLIAM S. STERN.....	6140	0606	942-0949

DIVISION OF CORPORATION FINANCE

DIRECTOR.....ALAN L. BELLER.....	4006	0401	942-2929
SECRETARY.....REGINA BAKER.....	4005	0401	942-2929
SENIOR SPECIAL COUNSEL.....CONSUELO HITCHCOCK.....	4515	0401	942-2810
SENIOR SPECIAL COUNSEL.....AMY STARR.....	4002	0401	942-2810
DEPUTY DIRECTOR (LEGAL/REGULATORY)....MARTIN P. DUNN.....	4009	0401	942-2890
DEPUTY DIRECTOR (DISCLOSURE OPER.)....SHELLEY E. PARRATT.....	4007	0401	942-2830
SENIOR SPECIAL COUNSEL.....JAMES R. BUDGE.....	4004	0401	942-2888
ASSOCIATE DIRECTOR (LEGAL).....PAULA DUBBERLY.....	5008	0507	942-2900
ASSOC. DIRECTOR (CHIEF ACCOUNTANT)....CAROL A. STACEY.....	3514	0312	942-2960
ASSOC. DIRECTOR (REGULATORY POLICY)....MAURI L. OSHEROFF.....	3006	0301	942-2840
SENIOR SPECIAL COUNSEL.....MARK W. GREEN.....	3015	0301	942-2840
ASSOC. DIRECTOR (DISCLOSURE OPER.)....PAUL A. BELVIN.....	5003	0507	942-8978
ASSOC. DIRECTOR (DISCLOSURE OPER.)....JAMES M. DALY.....	5005	0507	942-2881
ASSOC. DIRECTOR (DISCLOSURE OPER.)....VACANT.....	5006	0507	942-
ASSOC. DIRECTOR (DISCLOSURE OPER.)....BARRY N. SUMMER.....	5007	0507	942-7875
SUPERVISORY PROGRAM ANALYST.....JEANINE LAUTH.....	4003	0401	942-2820
ADMINISTRATIVE CONTACT.....MADELINE BOOKER.....	4017	0401	942-2807
TELECOMMUNICATIONS CENTER.....PATRICIA A. JACOBS.....	3603	0401	942-7100
FAX.....			942-9525

**DIVISION OF CORPORATION FINANCE (Continued)**

**OFFICE OF DISCLOSURE STANDARDS**

		Room	Zip+4	Area Code (202)
OFFICE CHIEF.....	VACANT.....	5001	0507	942-
CHIEF, OFC. OF GLOBAL SECURITY RISK..	CECILIA BLYE.....	5002	0507	824-5485

**OFFICE OF CHIEF ACCOUNTANT**

CHIEF ACCOUNTANT.....	CAROL A. STACEY.....	3514	0312	942-2960
DEPUTY CHIEF ACCOUNTANT.....	CRAIG C. OLINGER.....	3512	0312	942-2960
ASSOCIATE CHIEF ACCOUNTANT.....	LESLIE OVERTON.....	3515	0312	942-2960
ASSOCIATE CHIEF ACCOUNTANT.....	TODD HARDIMAN.....	4521	0312	942-2960
ASSOCIATE CHIEF ACCOUNTANT.....	JOEL LEVINE.....	3518	0312	942-2960
ASSOCIATE CHIEF ACCOUNTANT.....	LOUISE DORSEY.....	3516	0312	942-2960
ASSOCIATE CHIEF ACCOUNTANT.....	RACHEL MINCIN.....	3503	0312	942-2960
ASSOCIATE CHIEF ACCOUNTANT.....	SONDRA STOKES.....	3502	0312	942-2960
ASSOCIATE CHIEF ACCOUNTANT.....	STEPHANIE HUNSACKER.....	3519	0312	942-2960

**OFFICE OF CHIEF COUNSEL**

CHIEF COUNSEL.....	DAVID LYNN.....	4013	0402	942-2900
DEPUTY CHIEF COUNSEL.....	ROBERT PLESNARSKI.....	4012	0402	942-2900
DEPUTY CHIEF COUNSEL.....	CAROL MCGEE.....	4104	0402	942-2900
DEPUTY CHIEF COUNSEL.....	JONATHAN INGRAM.....	4014	0402	942-2900
SENIOR SPECIAL COUNSEL.....	ANNE M. KRAUSKOPF.....	4108	0402	942-2900
SPECIAL COUNSEL.....	PATRICIA MILLER.....	4109	0402	942-2900
SPECIAL COUNSEL.....	CAROLYN SHERMAN.....	4117	0402	942-2900
SPECIAL COUNSEL.....	JOE BABITS.....	4115	0402	942-2900
SPECIAL COUNSEL.....	ANDREW BRADY.....	4113	0402	942-2900
SPECIAL COUNSEL.....	JEFFREY COHAN.....	4103	0402	942-2900
SPECIAL COUNSEL.....	CHARLES KWON.....	4102	0402	942-2900
SPECIAL COUNSEL.....	GRACE LEE.....	4112	0402	942-2900
SPECIAL COUNSEL.....	ROBYN MANOS.....	4105	0402	942-2900
SPECIAL COUNSEL.....	HEATHER MAPLES.....	4107	0402	942-2900
SPECIAL COUNSEL.....	KIM MCMANUS.....	4101	0402	942-2900
SPECIAL COUNSEL.....	NINA MOJIRI-AZAD.....	4119	0402	942-2900
SPECIAL COUNSEL.....	MARK VILARDO.....	4018	0402	942-2900
SPECIAL COUNSEL.....	KRISTINA WYATT.....	4106	0402	942-2900

**OFFICE OF ENFORCEMENT LIAISON**

OFFICE CHIEF.....	MARY KOSTERLITZ.....	5104	0508	942-2843
SPECIAL COUNSEL.....	JENNIFER OURS.....	5012	0508	942-1838
SPECIAL COUNSEL.....	MARVA SIMPSON.....	5108	0508	942-2957
SPECIAL COUNSEL.....	PATTI DENNIS.....	5106	0508	942-2898
SPECIAL COUNSEL.....	MICHAEL FERRARO.....	5011	0508	942-2967
ACCOUNTANT.....	HILDA GARRETT.....	5105	0508	942-1866

**OFFICE OF RULEMAKING**

OFFICE CHIEF.....	ELIZABETH MURPHY.....	5112	0509	942-2910
SPECIAL COUNSEL.....	JEFFREY MINTON.....	5113	0509	942-2844
SPECIAL COUNSEL.....	SEAN HARRISON.....	5115	0509	942-1841
SPECIAL COUNSEL.....	RAYMOND BE.....	5117	0509	942-2886
SPECIAL COUNSEL.....	ANDREW THORPE.....	5109	0509	942-2944
SPECIAL COUNSEL.....	STEVEN HEARNE.....	5111	0509	942-1794

**OFFICE OF MERGERS AND ACQUISITIONS**

OFFICE CHIEF.....	BRIAN BREHENY.....	3002	0303	942-2920
SPECIAL COUNSEL.....	CHRISTINA CHALK.....	3520	0303	942-1773
SPECIAL COUNSEL.....	JULIE GRIFFITH.....	3101	0303	942-1762
SPECIAL COUNSEL.....	PAMELA CARMODY.....	3003	0303	942-1918
SPECIAL COUNSEL.....	ABBY ADAMS.....	3009	0303	942-1881
SPECIAL COUNSEL.....	MICHELE ANDERSON.....	3001	0303	942-1797
SPECIAL COUNSEL.....	LILY BROWN.....	3523	0303	942-2995
SPECIAL COUNSEL.....	CELESTE MURPHY.....	3017	0303	942-2903

**ENFORCEMENT, Office of Associate Director (Continued)**

	Room	Zip+4	Area Code (202)
BRANCH CHIEF.....DAVID M. STUART.....	7228	0713	942-4810
BRANCH CHIEF.....KEVIN M. HALEY.....	2427	0713	942-7258
OFFICE OF ASSISTANT DIRECTOR NO. 1.....			942-4541
ASSISTANT DIRECTOR.....RICHARD W. GRIME.....	8308	0800	942-4863
DEPUTY ASSISTANT DIRECTOR.....GREGORY G. FARAGASSO.....	8307	0800	942-4601
BRANCH CHIEF.....KEVIN M. LOFTUS.....	8311	0800	942-4848
BRANCH CHIEF.....CHARLES E. CAIN.....	8306	0800	942-4693
OFFICE OF ASSISTANT DIRECTOR NO. 10.....			942-4542
ASSISTANT DIRECTOR.....MARK J. KREITMAN.....	8413	0803	942-4693
DEPUTY ASSISTANT DIRECTOR.....CHARLES H. WIGGINS.....	8410	0803	942-4850
BRANCH CHIEF.....J. DAVID FIELDER.....	8410	0803	942-4645
BRANCH CHIEF.....ROBERT HANSON.....	8418	0803	942-4595
BRANCH CHIEF.....MICHAEL P. MOORE.....	8416	0803	942-4721
OFFICE OF ASSISTANT DIRECTOR NO. 13.....			942-4615
ASSISTANT DIRECTOR.....ROBERT R. KAPLAN.....	8008	0806	942-2803
DEPUTY ASSISTANT DIRECTOR.....VACANT.....	8007	0806	942-
BRANCH CHIEF.....VACANT.....	8006	0806	942-
BRANCH CHIEF.....NINA B. FINSTON.....	8517	0806	942-4682

**OFFICE OF ASSOCIATE DIRECTOR**

ASSOCIATE DIRECTOR.....LAWRENCE A. WEST.....	8217	0801	942-4822
OFFICE OF ASSISTANT DIRECTOR NO. 11.....			942-4571
ASSISTANT DIRECTOR.....KENNETH R. LENCH.....	8510	0805	942-4755
DEPUTY ASSISTANT DIRECTOR.....DAVID A. KAGAN-KANS.....	8511	0805	942-4711
BRANCH CHIEF.....ANDREW B. SPORKIN.....	8509	0805	942-4800
BRANCH CHIEF.....DOUGLAS C. MCALLISTER.....	8515	0805	942-4808
OFFICE OF ASSISTANT DIRECTOR NO. 4.....			942-4572
ASSISTANT DIRECTOR.....FREDERIC A. FIRESTONE.....	8103	0807	942-4640
DEPUTY ASSISTANT DIRECTOR.....DANIEL H. RUBENSTEIN.....	8019	0807	942-4772
BRANCH CHIEF.....GERALD W. HODGKINS.....	8009	0807	942-4705
BRANCH CHIEF.....MOIRA T. ROBERTS.....	8013	0807	942-4717
OFFICE OF ASSISTANT DIRECTOR NO. 7.....			942-4543
ASSISTANT DIRECTOR.....VACANT.....	7201	0703	942-
BRANCH CHIEF.....DOUGLAS B. PAUL.....	7210	0703	942-4685
BRANCH CHIEF.....KURT G. GRESENZ.....	7206	0703	942-7259
BRANCH CHIEF.....JOHN H. LOESCH.....	7202	0703	942-4688
BRANCH CHIEF.....NEIL J. WELCH.....	2407	0703	942-4821

**OFFICE OF ASSOCIATE DIRECTOR**

ASSOCIATE DIRECTOR.....PETER H. BRESNAN.....	9302	0706	942-4788
OFFICE OF ASSISTANT DIRECTOR NO. 3.....			942-4553
ASSISTANT DIRECTOR.....CHERYL J. SCARBORO.....	7524	0706	942-4583
DEPUTY ASSISTANT DIRECTOR.....CHARLES J. FELKER.....	7520	0706	942-4897
BRANCH CHIEF.....REID A. MUOIO.....	7522	0706	942-7205
BRANCH CHIEF.....WALTON S. KINSEY.....	7523	0706	942-4929
OFFICE OF INTERNET ENFORCEMENT.....			942-4540
CHIEF.....JOHN R. STARK.....	9109	0908	942-4803
DEPUTY CHIEF.....THOMAS A. SPORKIN.....	9102	0908	942-4801
OFFICE OF ASSISTANT DIRECTOR NO. ?.....			942-
ASSISTANT DIRECTOR.....VACANT.....			942-
BRANCH CHIEF.....JAMES LEE BUCK.....	8007		942-4893
BRANCH CHIEF.....VACANT.....			942-

**ENFORCEMENT, Office Of Chief Litigation Counsel (Continued)**

	Room	Zip+4	Area Code (202)
ASST. CHIEF LITIGATION COUNSEL.....DEBRA M. PATALKIS.....	9010	0911	942-7133
ASST. CHIEF LITIGATION COUNSEL.....ROBERT W. POMMER.....	9407	0911	942-4610
ASST. CHIEF LITIGATION COUNSEL.....LYNN M. POWALSKI.....	9410	0911	942-4533
ASST. CHIEF LITIGATION COUNSEL.....SUZANNE ROMAJSAS.....	9301	0911	942-7934
ASST. CHIEF LITIGATION COUNSEL.....MICHAEL SEMLER.....	9402	0911	942-5377
ASST. CHIEF LITIGATION COUNSEL.....RICHARD E. SIMPSON.....	9202	0911	942-4791
ASST. CHIEF LITIGATION COUNSEL.....RICHARD B. SKAFF.....	9504	0911	942-4548
ASST. CHIEF LITIGATION COUNSEL.....CHARLES D. STODGHILL.....	9407	0911	942-4528
ASST. CHIEF LITIGATION COUNSEL.....CARL A. TIBBETTS.....	9203	0911	942-4817
ASST. CHIEF LITIGATION COUNSEL.....JORDAN THOMAS.....	9410	0911	942-4517
ASST. CHIEF LITIGATION COUNSEL.....ERICA WILLIAMS.....	9403	0911	942-5231
ASST. CHIEF LITIGATION COUNSEL.....JOHN WORLAND.....	9414	0911	942-4522

**OFFICE OF CORPORATE PRACTICE**

CHIEF ACCOUNTANT.....SUSAN G. MARKEL.....	7310	0712	942-4871
ASSOCIATE CHIEF ACCOUNTANT.....MATTHEW W. ROGERS.....	7309	0712	942-4730
ASSOCIATE CHIEF ACCOUNTANT.....REGINA M. BARRETT.....	7306	0712	942-4524
ASSOCIATE CHIEF ACCOUNTANT.....DAVID M. ESTABROOK.....	7307	0712	942-4814
ASSOCIATE CHIEF ACCOUNTANT.....PIERRE R. LEEF.....	7308	0712	942-4687
ASSOCIATE CHIEF ACCOUNTANT.....DWAYNE M. BROWN.....	7312	0712	942-4547

**REGIONAL OFFICE OPERATIONS**

DIRECTOR.....JAMES A. CLARKSON.....	8204	0801	942-4580
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**DIVISION OF INVESTMENT MANAGEMENT**

DIRECTOR.....PAUL F. ROYE.....	7086	0506	942-0720
SECRETARY.....VICTORIA A. GRAY.....	7089	0506	942-0720
DEPUTY DIRECTOR.....VACANT.....	7088	0506	942-0720
SENIOR ADVISOR.....JENNIFER B. MCHUGH.....	7090	0506	942-0720
SPECIAL ASST. FOR ADMINISTRATION.....DONNA L. HAWKINS.....	8035	0504	942-0557
ADMINISTRATIVE CONTACT.....PATRICIA G. MARTIN.....	8031	0504	942-0718
IT SPECIALIST.....S. PING CHEN.....	8033	0504	942-0717
FAX.....	7082	0506	942-9659

**OFFICE OF ASSOCIATE DIRECTOR (Chief Counsel)**

ASSOCIATE DIRECTOR.....DOUGLAS J. SCHEIDT.....	7078	0506	942-0666
SENIOR SPECIAL COUNSEL.....EDWARD J. RUBENSTEIN.....	8054	0504	942-0660
PUBLIC INQUIRIES.....		0504	942-0659

**OFFICE OF CHIEF COUNSEL FOR INTERNATIONAL ISSUES**

ASSISTANT CHIEF COUNSEL.....ALISON M. FULLER.....	8066	0504	942-0660
BRANCH CHIEF.....DAVID W. GRIM.....	8067	0504	942-0660

**OFFICE OF CHIEF COUNSEL FOR FINANCIAL INSTITUTIONS**

ASSISTANT CHIEF COUNSEL.....ELIZABETH G. OSTERMAN.....	8046	0504	942-0660
BRANCH CHIEF.....BRENT J. FIELDS.....	8044	0504	942-0660

**OFFICE OF ENFORCEMENT LIAISON**

ASSISTANT DIRECTOR.....BARBARA CHRETIEN-DAR.....	7013	0506	942-0535
SPECIAL COUNSEL.....ELAINE M. BOGGS.....	7011	0506	942-0535
SPECIAL COUNSEL.....JAMES M. CURTIS.....	7012	0506	942-0535
SPECIAL COUNSEL.....NANCY M. RAPPA.....	7010	0506	942-0535

**DIVISION OF INVESTMENT MANAGEMENT (Continued)**

**OFFICE OF FINANCIAL ANALYSIS**

		Room	Zip+4	Area Code (202)
ASSISTANT DIRECTOR.....	PAUL B. GOLDMAN.....	7018	0506	942-0510
SENIOR FINANCIAL ANALYST.....	CAROLYN A. MILLER.....	7021	0506	942-0510
SENIOR FINANCIAL ANALYST.....	ROBERT E. ZWEIG.....	7019	0506	942-0510

**OFFICE OF THE ASSOCIATE DIRECTOR  
(Disclosure and Insurance Product Regulation)**

ASSOCIATE DIRECTOR.....	SUSAN NASH.....	7003	0506	942-0630
SENIOR SPECIAL COUNSEL.....	KEITH E. CARPENTER.....	7066	0506	942-0670

**OFFICE OF INSURANCE PRODUCTS**

ASSISTANT DIRECTOR.....	WILLIAM J. KOTAPISH.....	7056	0506	942-0670
BRANCH CHIEF, BRANCH 1.....	ZANDRA Y. BAILES.....	7058	0506	942-0670
BRANCH CHIEF, BRANCH 2.....	LORNA J. MACLEOD.....	7054	0506	942-0670

**OFFICE OF DISCLOSURE REGULATION**

ASSISTANT DIRECTOR.....	PAUL G. CELLUPICA.....	7072	0506	942-0721
BRANCH CHIEF.....	CHRISTOPHER P. KAISER.....	7070	0506	942-0721

**DIVISION OF MARKET REGULATION**

<b>DIRECTOR.....</b>	<b>ANNETTE L. NAZARETH.....</b>	<b>10206</b>	<b>1001</b>	<b>942-0090</b>
SECRETARY.....	MARY GALLAGHER.....	10200	1001	942-0080
DEPUTY DIRECTOR.....	ROBERT L. D. COLBY.....	10204	1001	942-0094
CHIEF OF OPERATIONS.....	HERBERT BROOKS.....	10308	1001	942-0150
SENIOR SPECIAL COUNSEL.....	CHRISTOPHER STONE.....	10205	1001	942-7398
SUPERVISORY PROGRAM ANALYST.....	JAMEY MCNAMARA.....	10116	1001	942-0157
ADMINISTRATIVE CONTACT.....	DEBORAH K. BOWLDING.....	10203	1001	942-0185
IT SPECIALIST.....	WILLIAM HUDDLESTON.....	10113	1001	942-0083
FAX.....		10200		942-9643

**OFFICE OF BROKER-DEALER**

SENIOR SPECIAL COUNSEL.....	GEORGE LAVDAS.....	10003	1001	942-0736
SENIOR SPECIAL COUNSEL.....	JEFFREY MOONEY.....	10007	1001	942-4174
ASSOCIATE DIRECTOR.....	LARRY E. BERGMANN.....	10201	1001	942-0770
ASSOCIATE DIRECTOR.....	MICHAEL A. MACCHIAROLI.....	10304	1001	942-0132
ASST. DIRECTOR, TRADING PRACTICES.....	JAMES BRIGAGLIANO.....	10009	1001	942-0772
ASST. DIRECTOR, CLEARANCE AND SETTLEMENT.....	JERRY CARPENTER.....	10005	1001	942-0162
ASSISTANT DIRECTOR.....	THOMAS MCGOWAN.....	10114	1001	942-0177
ASSISTANT DIRECTOR.....	JOANNE SWINDLER.....	10010	1001	942-4180
ASSISTANT DIRECTOR.....	MATTHEW EICHNER.....	5522	1001	942-0130
SUPERVISORY IT SPECIALIST.....	KEITH RILEY.....	10417	1001	942-0768
FAX.....		10601		942-9553

**OFFICE OF MARKET SUPERVISION**

ASSOCIATE DIRECTOR.....	ELIZABETH KING.....	10207	1001	942-0077
ASSOCIATE DIRECTOR.....	DAVID SHILLMAN.....	10202	1001	942-0167
ASSISTANT DIRECTOR.....	DEBORAH FLYNN.....	10510	1001	942-0188
ASSISTANT DIRECTOR.....	KATHERINE ENGLAND.....	10507	1001	942-0154
ASSISTANT DIRECTOR.....	KELLY REILY-MCCORMICK.....	10431	1001	942-0071
ASSISTANT DIRECTOR.....	NANCY SANOW.....	10511	1001	942-0799
ASSISTANT DIRECTOR.....	TERRY EVANS.....	10426	1001	942-0198
ASSITANT DIRECTOR.....	IRA BRANDRISS.....	10422	1001	942-0148
ATTORNEY FELLOW.....	RICHARD STRASSER.....	10509	1001	942-0737
ATTORNEY FELLOW.....	HEATHER SEIDEL.....	10012	1001	942-0788
SENIOR SPECIAL COUNSEL.....	SHARON LAWSON.....	10512	1001	942-0182
SENIOR SPECIAL COUNSEL.....	FLORENCE HARMON.....	10515	1001	942-0773

**ADMINISTRATIVE SERVICES, Office of Procurement, Real Property (Continued)**

	Room	Zip+4	Area Code
		(202)	
BRANCH CHIEF, CONSTRUCTION AND REAL PROPERTY.....HARRY FLEMING.....	1428	0-1	942-4008
FAX.....		(703)	914-4459
BRANCH CHIEF, PROCUREMENT AND CONTRACTING.....LINDA SUDHOFF, ACTING.....	1436	0-1	914-7844
FAX.....		(703)	914-9226
BRANCH CHIEF, FACILITIES.....GAIL SNEED.....	2C00	0008	942-4010
FAX.....		(703)	914-9663

**OFFICE OF THE CHIEF ACCOUNTANT**

CHIEF ACCOUNTANT.....DONALD T. NICOLAISEN.....	11213	1103	942-4400
SECRETARY.....P. J. PROCTOR-SARVIS.....	11212	1103	942-4400
DEPUTY CHIEF ACCOUNTANT, ACCOUNTING...SCOTT A. TAUB.....	11216	1103	942-4400
DEPUTY CHIEF ACCOUNTANT, PROF. PRACTICE.....ANDREW D. BAILEY, JR.....	11211	1103	942-4400
DEPUTY CHIEF ACCOUNTANT, INTERNATIONAL.....JULIE A. ERHARDT.....	11204	1103	942-4400
CHIEF COUNSEL.....ROBERT E. BURNS.....	11203	1103	942-4400
ASSOCIATE CHIEF ACCOUNTANT.....JOHN W. ALBERT.....	11205	1103	942-4400
ASSOCIATE CHIEF ACCOUNTANT.....MICHAEL J. KIGIN.....	11207	1103	942-4400
ASSOCIATE CHIEF ACCOUNTANT.....SUSAN KOSKI-GRAFER.....	11206	1103	942-4400
ASSOCIATE CHIEF ACCOUNTANT.....SHELLY C. LUISI.....	11220	1103	942-4400
ASSOCIATE CHIEF ACCOUNTANT.....JENIFER MINKE-GIRARD.....	11112	1103	942-4400
ADMINISTRATIVE CONTACT.....P. J. PROCTOR-SARVIS.....	11212	1103	942-4400
FAX.....			942-9656
FAX.....			628-1052

**OFFICE OF COMPLIANCE INSPECTIONS AND EXAMINATIONS**

DIRECTOR.....LORI A. RICHARDS.....	2073	0905	942-7400
STAFF ASSISTANT.....MICHELLE CONNER.....	2076	0905	942-7879
SENIOR ADVISOR.....KAREN BURGESS.....	2080	0905	942-0831
SUPERVISORY PROGRAM ANALYST.....DENISE GREEN.....	2092	0905	942-7378
PROGRAM SUPPORT SPEC./ADMIN. CONTACT...KIM THELWELL.....	2097	0905	942-7421
IT SPECIALIST.....CAROLYN FENTRESS.....	3056	0906	942-7423
FAX, FRONT OFFICE.....			942-9641

**OFFICE OF THE CHIEF COUNSEL**

CHIEF COUNSEL.....JOHN WALSH.....	471	0906	942-8960
ASSISTANT CHIEF COUNSEL.....NANCY HANSBROUGH.....	475	0906	942-7477
SPECIAL COUNSEL.....SUSAN WALTERS.....	473	0906	942-7488
BRANCH CHIEF, TRAINING.....EDWARD STOLLE.....	416	0906	942-7414

**OFFICE OF BROKER-DEALER/SELF REGULATORY ORGANIZATION EXAMINATIONS**

ASSOCIATE DIRECTOR.....MARY ANN GADZIALA.....	2071	0905	942-7400
SENIOR COUNSEL.....CHRISTINE SIBILLE.....	2096	0905	942-7458
ASSISTANT DIRECTOR, OFFICE OF SRO INSPECTIONS NO. 2.....HELENE MCGEE.....	2066	0902	942-7430
DEPUTY ASSISTANT DIRECTOR.....JAMES CHAN.....	2067	0903	942-7485
BRANCH CHIEF.....KRISTEN LEVER.....	2070	0902	942-7418
BRANCH CHIEF.....GRANT GARTMAN.....	2084	0902	942-7450
BRANCH CHIEF.....NICK KOUFOS.....	2086	0902	942-7396



**OFFICE OF ECONOMIC ANALYSIS (Continued)**

	Room	Zip+4	Area Code (202)
ASSISTANT CHIEF ECONOMIST, (LITIGATION SUPPORT).....	VACANT.....	6058	1105 942-
SUPERVISORY FINANCIAL ANALYST (BRANCH OF INFRASTRUCTURE AND D/S).....	VACANT.....	6041	1105 942-
ADMINISTRATIVE CONTACT.....	VACANT.....		1105 942-
FAX.....			942-9657

**OFFICE OF EQUAL EMPLOYMENT OPPORTUNITY**

DIRECTOR.....	DEBORAH K. BALDUCCHI.....	10107	0212 942-0041
ADMINISTRATIVE CONTACT.....	VACANT.....	10104	0212 942-0040
FAX.....			942-9547

**OFFICE OF EXTERNAL AFFAIRS**

MANAGING EXEC. FOR EXTERNAL AFFAIRS....	LAURA L. COX.....	6000	0601 942-0100
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**OFFICE OF PUBLIC AFFAIRS**

DIRECTOR.....	MATTHEW WELL.....	2508	0211 942-0020
DEPUTY DIRECTOR.....	JOHN D. HEINE.....	2510	0211 942-0020
DEPUTY DIRECTOR.....	AMY BEST.....	2509	0211 942-0020
MEDIA ADVISOR.....	JOHN NESTER.....	2507	0211 942-0020
PUBLIC AFFAIRS SPECIALIST.....	CAROL A. PATTERSON.....	2505	0211 942-0020
SEC NEWS DIGEST.....	CARLENE M. AKINS.....	2506	0211 942-0020
NEWS CLIPS.....	MARY B. NEAL.....	2500	0211 942-0020
FAX.....			942-9654
TDD/TTY.....			942-0020

**OFFICE OF LEGISLATIVE AFFAIRS**

DIRECTOR.....	JANE COBB.....	6103	0602 942-0010
SECRETARY.....	BRENDA MARTIN.....	6100	0602 942-0010
DEPUTY DIRECTOR.....	PETER KIERNAN.....	6100	0602 942-0010
SENIOR ADVISOR.....	MATTHEW SHIMKUS.....	6105	0602 942-0010
LEGISLATIVE AFFAIRS SPECIALIST.....	MICHEAL O'BRIEN.....	6100	0602 942-0010
LEGISLATIVE ASSISTANT.....	SHARON FREEMAN.....	6100	0602 942-0010
FAX.....			942-9650

**OFFICE OF INVESTOR EDUCATION AND ASSISTANCE**

DIRECTOR.....	SUSAN FERRIS WYDERKO.....	3037	0213 942-7240
DEPUTY DIRECTOR.....	GERALDINE WALSH.....	3046	0213 942-7182
SPECIAL COUNSEL.....	LORI SCHOCK.....	3035	0213 942-7043
BRANCH CHIEF.....	ALDIS LAPINS.....	3014	0213 942-4681
BRANCH CHIEF.....	JACK HARDY.....	3033	0213 942-7047
BRANCH CHIEF.....	GLORIA F. SMITH-HILL.....	3030	0213 942-7393
PROGRAM SUPPORT SPEC./ADMIN. CONTACT.....	LAJONCY WILLIS.....	3039	0213 942-7051
FAX.....			942-9634
TDD/TTY.....			942-7114
INVESTOR COMPLAINTS AND QUESTIONS.....			942-7040

**OFFICE OF FILINGS AND INFORMATION SERVICES**

ASSOCIATE EXECUTIVE DIRECTOR.....	KENNETH A. FOGASH.....	1214	0-18 942-8938
SECRETARY.....	DIANA NELTNER.....	1212	0-18 942-8929
DEPUTY DIRECTOR.....	CECILIA WILKERSON.....	1211	0-18 942-8925
ASSOCIATE DIRECTOR.....	SHIRLEY SLOCUM.....	1213	0-18 942-8938
ASSOCIATE DIRECTOR.....	MARGARET FAVOR.....	2205	0-15 942-8602

OFFICE OF HUMAN RESOURCES, Office of Human Resources (Continued)

CLASSIFICATION, STAFFING AND PAYROLL BRANCHES

		Room	Zip+4	Area Code
CHIEF, BRANCH 1.....	TRINETTE SMITH.....	1417	0-1	942-7960
CHIEF, BRANCH 2.....	CHRISTOPHER B. KUBELICK.....	1414	0-1	942-4063
CHIEF, BRANCH 3.....	MARCIA SPILLANE.....	1416	0-1	942-4067
FAX.....			(703)	914-0556

PAY/BENEFITS/SPECIAL PROJECTS BRANCH

BRANCH CHIEF.....	LEMONT NEAL.....	1410	0-1	942-4060
COMPENSATION AND PAY.....	VICTORIA HEBERT.....	1436	0-1	942-4056
RETIREMENT SPECIALIST.....	SUSAN LARSON.....	1439	0-1	942-4061
BENEFITS SPECIALIST.....	BERTHA WADE.....	1435	0-1	942-4076
AVUE MIGRATION.....	MICHAEL BRASWELL.....	1200	0-1	942-4478
FAX.....			(703)	914-0556

OFFICE OF EMPLOYEE DEVELOPMENT AND LABOR RELATIONS

ASSISTANT DIRECTOR.....	ADAM RAMSEY.....	1404	0-1	942-4066
FAX.....			(703)	914-0592

RECRUITMENT, WORKLIFE AND DISABILITY PROGRAMS BRANCH

BRANCH CHIEF.....	TERESA ELLISON.....	1413	0-1	942-4002
FAX.....			(703)	914-0592
CHIEF RECRUITER.....	JILL KIRSON.....	1127	103	942-4155
FAX.....				942-4155

EMPLOYEE AND LABOR RELATIONS BRANCH

BRANCH CHIEF.....	MARK RAISHER.....	2904	0-22	942-4090
FAX.....			(703)	914-1097

EMPLOYEE DEVELOPMENT BRANCH

BRANCH CHIEF.....	CAROL E SCHLOSS.....	2905	0-21	942-4937
FAX.....			(703)	914-1098

OFFICE OF INFORMATION TECHNOLOGY

CHIEF INFORMATION OFFICER (CIO)/

DIRECTOR.....	R. COREY BOOTH.....	2114	0-4	942-8800
SECRETARY.....	C. LOUISE HOSKINS.....	2110	0-4	942-8620
CHIEF INFORMATION SECURITY OFFICER (CISO).....	CHRISAN HERROD.....	2107	0-4	942-7761
GROUP MANAGER, EDGAR PROGRAM OFFICE (ACTING).....	RICHARD D. HEROUX.....	2108	0-4	942-8885
FAX.....			(703)	914-2621

OFFICE OF APPLICATIONS AND SOFTWARE DEVELOPMENT

ASSISTANT DIRECTOR.....	LEWIS W. WALKER.....	2101	0-4	942-8811
BRANCH CHIEF, ANALYTICS.....	VACANT.....		0-4	942-
BRANCH CHIEF, CONTENT MANAGEMENT.....	VACANT.....		0-4	942-

OFFICE OF ENTERPRISE ARCHITECTURE

ASSISTANT DIRECTOR.....	SRINIVAS BANGARBALA.....	2103	0-4	942-8621
BRANCH CHIEF, CONFIGURATION MGMT./ QUALITY ASSURANCE.....	CHARLOTTE M. BROWN.....	2143	0-4	942-8814

## 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

The Woolworth Building  
233 Broadway  
New York, New York 10279

GENERAL INFORMATION : (646) 428-1500  
FAX : (646) 428-1984 (Testimony Room Reservation)  
                      : (646) 428-1971 (Administrative Services)  
OFFICE HOURS : 9:00 - 5:30 EST  
WASHINGTON TIME : 9:00 - 5:30

	<u>Area Code (646)</u>
REGIONAL DIRECTOR.....	MARK SCHONFELD..... 428-1650
FAX.....	428-1981
SECRETARY.....	LINDA HOSHALL..... 428-1763
DEPUTY REGIONAL DIRECTOR.....	EDWIN H. NORDLINGER..... 428-1630
SUPERVISORY PROGRAM SUPPORT	
SPECIALIST/ADMIN. CONTACT.....	PAULA A. DETORRE..... 428-1540

#### OFFICE OF ENFORCEMENT

ASSOCIATE REGIONAL DIRECTOR.....	VACANT..... 428-
FAX.....	428-1980
SENIOR TRIAL COUNSEL.....	ALEXANDER M. VASILESCU..... 428-1928
SENIOR TRIAL COUNSEL.....	WILLIAM CURRIER..... 428-1683
SENIOR TRIAL COUNSEL.....	DAVID MARKOWITZ..... 428-1806
ASSISTANT REGIONAL DIRECTOR,	
ENFORCEMENT #1.....	HELENE T. GLOTZER..... 428-1736
BRANCH CHIEF, ENFORCEMENT #3.....	STEPHEN E. DONAHUE..... 428-1695
BRANCH CHIEF, ENFORCEMENT #4.....	BRUCE KARPATI..... 428-1775
ASSISTANT REGIONAL DIRECTOR,	
ENFORCEMENT #2.....	GEORGE N. STEPANIUK..... 428-1910
BRANCH CHIEF, INTERNET ENFORCEMENT.....	ROBERT KEYES..... 428-1580
BRANCH CHIEF, ENFORCEMENT #1.....	ELIZABETH L. GOOT..... 428-1739
BRANCH CHIEF, ENFORCEMENT #5.....	JOSEPH P. DEVER, JR..... 428-2121
ASSISTANT REGIONAL DIRECTOR,	
ENFORCEMENT #5.....	DAVID ROSENFELD..... 428-1869
DEP. ASST. REG. DIR., ENFORCEMENT #6.....	ANDREW M. CALAMARI..... 428-1659
BRANCH CHIEF, ENFORCEMENT #8.....	ALAN R. REIFENBERG..... 428-1861
ASSOCIATE REGIONAL DIRECTOR.....	VACANT..... 428-
FAX.....	428-1973
ASSISTANT REGIONAL DIRECTOR,	
ENFORCEMENT #7.....	ALISTAIRE BAMBACH..... 428-1636
SENIOR TRIAL COUNSEL.....	NATHAN M. FUCHS..... 428-1725
SENIOR TRIAL COUNSEL.....	NEAL JACOBSON..... 428-1767
SENIOR TRIAL COUNSEL.....	VACANT..... 428-
SENIOR TRIAL COUNSEL.....	JACK KAUFMAN..... 428-1777
SENIOR TRIAL COUNSEL.....	RICHARD PRIMOFF..... 428-1754
SENIOR TRIAL COUNSEL.....	JAMES MCGOVERN..... 428-1722
REGIONAL LITIGATION COUNSEL.....	JASON R. GETTINGER..... 428-1732

REGION 1: NERO, Office of the Associate Regional Director Broker-Dealer (Continued)

	<u>Area Code (646)</u>
ASSISTANT REGIONAL DIRECTOR #1.....VACANT.....	428-
BRANCH CHIEF, B/D #1.....RONALD S. SCAGLIONE.....	428-1881
BRANCH CHIEF, B/D #2.....SANDY R. SADWIN.....	428-1876
ASSISTANT REGIONAL DIRECTOR #2.....RICHARD A. HEAPHY.....	428-1753
BRANCH CHIEF, B/D #3.....RONALD KRIETZMAN.....	428-1789
BRANCH CHIEF, B/D #4.....STEVEN C. VITULANO.....	428-1932
ASSISTANT REGIONAL DIRECTOR #3.....JOHN M. NEE.....	428-1831
BRANCH CHIEF, B/D #5.....ETHAN J. ALLFREE.....	428-1623
BRANCH CHIEF, B/D #6.....STEPHANIE A. MORENA.....	428-1823
BRANCH CHIEF, B/D #7.....VACANT.....	428-
ASSOCIATE REGIONAL DIRECTOR, BROKER-DEALER #2.....RICHARD D. LEE.....	428-1520
ASSISTANT REGIONAL DIRECTOR #4.....LINDA A. LETTIERI.....	428-1797
BRANCH CHIEF, B/D #8.....JEFFREY H. BERFOND.....	428-1639
BRANCH CHIEF, B/D #9.....ROSEANNE R. SMITH.....	428-1901
BRANCH CHIEF, B/D #10.....JENNIFER TIERNO.....	428 1922
ASSISTANT REGIONAL DIRECTOR #5.....JOANNE D. BEHAR.....	428-1638
BRANCH CHIEF, B/D #11.....RONALD SUKHU.....	428-1912
BRANCH CHIEF, B/D #12.....KENNETH LIEBL.....	428-1801
BRANCH CHIEF, B/D #13.....VACANT.....	428-

REGION 1

BOSTON DISTRICT OFFICE

73 TREMONT STREET  
SUITE 600  
BOSTON, MASSACHUSETTS 02108-3912

COMMERCIAL/FTS : 617-573-8900  
TDD/TTY : 617-424-5933  
FAX : 617-424-5940 (MAIN)  
: 617-424-5945 (DA/ADMIN. OFFICE)  
OFFICE HOURS : 9:00 - 5:30 EST  
WASHINGTON TIME : 9:00 - 5:30

	<u>Area Code (617)</u>
DISTRICT ADMINISTRATOR.....WALTER G. RICCIARDI.....	573-8934
SECRETARY.....ANN WISNIEWSKI.....	573-8969
ASSOCIATE DISTRICT ADMINISTRATOR.....DAVID BERGERS.....	573-8927
SR COUNSEL TO DISTRICT ADMINISTRATOR...MADELEINE MCGRATH BLAKE.....	573-8926
IT SPECIALIST.....BRUCE SOUZA.....	573-8943
ADMINISTRATIVE CONTACT.....DIANE HINZPETER.....	573-8971

OFFICE OF ENFORCEMENT #1

ASSISTANT DISTRICT ADMINISTRATOR.....MARTIN HEALEY.....	573-8952
CHIEF, BRANCH 1.....SILVESTRE A. FONTES.....	573-8991
CHIEF, BRANCH 2.....CELIA D. MOORE.....	573-8976
CHIEF, BRANCH 3.....PHILIP KOSKI.....	573-8964

REGION 1

PHILADELPHIA DISTRICT OFFICE

MELLON INDEPENDENCE CENTER  
701 MARKET STREET  
SUITE 2000  
PHILADELPHIA, PENNSYLVANIA 19106-1532

COMMERCIAL/FTS : 215-597-3100  
FAX : 215-597-3194  
FAX (ENFORCEMENT) : 215-597-5885  
FAX (TRIAL UNIT) : 215-597-2740  
FAX (ADMINISTRATION) : 215-597-1036  
FAX (REG I/A) : 215-446-4272  
FAX (REG B/D) : 215-446-4282  
OFFICE HOURS : 9:00 - 5:30 EST  
WASHINGTON TIME : 9:00 - 5:30

Area Code (215)

DISTRICT ADMINISTRATOR.....ARTHUR S. GABINET..... 597-3106  
SECRETARY.....KATHLEEN MORETTI..... 597-0200  
ASSOC. DIST. ADMINISTR.-REGULATION.....JOY G. THOMPSON..... 597-6135  
ASSOC. DIST. ADMINISTR.-ENFORCEMENT....VACANT.....  
IT SPECIALIST.....WILLIAM PORTER..... 597-3199  
ADMINISTRATIVE CONTACT.....LINDA STIRLING-GODFREY..... 597-3105

OFFICE OF ENFORCEMENT NO. 1

ASSISTANT DISTRICT ADMINISTRATOR.....DAVID HOROWITZ..... 597-2950  
CHIEF, ENFORCEMENT BRANCH 1.....BRENDAN MCGLYNN..... 597-1035  
DEP. ASST. DISTRICT ADMINISTRATOR,  
ENFORCEMENT BRANCH 2.....DEBORAH E. SIEGEL..... 597-3382

OFFICE OF ENFORCEMENT NO. 2

ASSISTANT DISTRICT ADMINISTRATOR.....ELAINE C. GREENBERG..... 597-3107  
CHIEF, ENFORCEMENT BRANCH 3.....MICHAEL NOVAKOVIC..... 597-2985  
CHIEF, ENFORCEMENT BRANCH 4.....CELESTE CHASE..... 597-0209

OFFICE OF ENFORCEMENT NO. 3

DISTRICT TRIAL COUNSEL.....AMY GREER..... 597-0687  
SENIOR TRIAL COUNSEL.....CATHERINE PAPPAS..... 597-0657  
SENIOR TRIAL COUNSEL.....KINGDON KASE..... 597-0794  
SENIOR TRIAL COUNSEL.....DENISE COLLIERS..... 597-3718  
SENIOR TRIAL COUNSEL.....CHRISTINA RAINVILLE..... 597-2987

OFFICE OF EXAMINATION NO. 1

SENIOR ASST. DISTRICT ADMINISTRATOR...WILLIAM R. MECK..... 597-0789  
CHIEF, BRANCH OF INVESTMENT COMPANY  
INVESTMENT ADVISOR EXAMS BRANCH 1...ROBERT THOMAS..... 597-1048  
CHIEF, BRANCH OF INVESTMENT COMPANY  
INVESTMENT ADVISOR EXAMS BRANCH 2...MARGARET JACKSON..... 597-0795  
CHIEF, BRANCH OF INVESTMENT COMPANY  
INVESTMENT ADVISOR EXAMS BRANCH 3...STEVEN DITTERT..... 597-3484  
CHIEF, BRANCH OF INVESTMENT COMPANY  
INVESTMENT ADVISOR EXAMS BRANCH 4...ANTOINETTE HERNANDEZ..... 597-3258

OFFICE OF EXAMINATION NO. 2

ASST. DISTRICT ADMINISTRATOR.....PAUL T. HEE..... 597-8307  
SPECIAL COUNSEL.....BRIAN CARROLL..... 597-3933

## REGION 2

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

### SOUTHEAST REGIONAL OFFICE

801 BRICKELL AVENUE  
SUITE 1800  
MIAMI, FLORIDA 33131

COMMERCIAL/FTS : 305-982-6300  
FAX REGIONAL DIRECTOR/  
ADMIN. SERVICES : 305-536-4120  
FAX ENFORCEMENT : 305-536-4146  
FAX REGULATION : 305-536-4158  
FAX TRIAL UNIT : 305-536-4154  
OFFICE HOURS : 9:00 - 5:30 EST  
WASHINGTON TIME : 9:00 - 5:30

Area Code (305)

REGIONAL DIRECTOR.....	DAVID NELSON.....	982-6332
SECRETARY.....	VACANT.....	982-
ASSOC. REGIONAL DIR., ENFORCEMENT.....	GLENN S. GORDON.....	982-6360
ASSOC. REGIONAL DIR., EXAMINATION.....	JOHN C. MATTIMORE.....	982-6357
REGIONAL TRIAL COUNSEL.....	ROBERT K. LEVENSON.....	982-6341
SENIOR TRIAL COUNSEL.....	ALISE M. JOHNSON.....	982-6322
SENIOR TRIAL COUNSEL.....	SCOTT A. MASEL.....	982-6398
SENIOR TRIAL COUNSEL.....	CHRISTOPHER E. MARTIN.....	982-6386
SENIOR TRIAL COUNSEL.....	LINDA S. SCHMIDT.....	982-6315
SENIOR TRIAL COUNSEL.....	VACANT.....	982-
ADMINISTRATIVE CONTACT.....	L. ALEXANDRIA LEDEZMA.....	982-6343
IT SPECIALIST.....	JOHN J. CONNAUGHTON.....	982-6328
ASST. REG. DIRECTOR (ENFORCEMENT #1)....	IVAN P. HARRIS.....	982-6342
CHIEF, BRANCH OF INVESTIGATIONS AND ENFORCEMENT #1.....	CHRISTINE A. LYNCH.....	982-6312
CHIEF, BRANCH OF INVESTIGATIONS AND ENFORCEMENT #2.....	JON B. JORDAN.....	982-6361
ASST. REG. DIRECTOR (ENFORCEMENT #2)....	ERIC R. BUSTO.....	982-6362
CHIEF, BRANCH OF INVESTIGATIONS AND ENFORCEMENT #3.....	GARY M. MILLER.....	982-6314
CHIEF, BRANCH OF INVESTIGATIONS AND ENFORCEMENT #4.....	VACANT.....	982-
ASST. REG. DIRECTOR (ENFORCEMENT #3)....	TERESA J. VERGES.....	982-6384
DEPUTY ASST. REGIONAL DIRECTOR (ENF #5). CHIEF, BRANCH OF INVESTIGATIONS AND ENFORCEMENT #6.....	CHEDLY C. DUMORNAY..... YOLANDA GONALEZ.....	982-6377 982-6390
ASST. REG. DIRECTOR (EXAMINATION #1)....	JOHN D. MAHONEY.....	982-6303
CHIEF, BRANCH OF BD/TA #1.....	VACANT.....	982-
CHIEF, BRANCH OF BD/TA #2.....	MORGAN L. CHONG.....	982-6317
ASST. REG. DIRECTOR (EXAMINATION #2)....	PATRICIA E. FLYNN.....	982-6330
CHIEF, BRANCH OF IC/IA #1.....	ROGER A. MIRANDA.....	982-6318
CHIEF, BRANCH OF IC/IA #2.....	BART E. GANCHER.....	982-6316
ASST. REG. DIRECTOR (EXAMINATION #3)....	NICHOLAS A. MONACO.....	982-6310
CHIEF, BRANCH OF BD/TA #3.....	LOUIS J. DEMPSEY.....	982-6391
CHIEF, BRANCH OF IC/IA #3.....	FAYE A. CHIN.....	982-6305
INVESTOR ASSISTANCE SPECIALIST.....	DOREEN K. MOSAPHIR.....	982-6301

REGION 2: ADO, Office of Regulation #1 (Continued)

CHIEF, BRANCH OF INVESTMENT COMPANY AND INVESTMENT ADVISER EXAMS 4.....	LILLIAN A. WILCOX.....	<u>Area Code (404)</u> 842-7653
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ATTORNEY-ADVISOR.....	DANIELLE RYEA.....	842-7629
INVESTOR ASSISTANCE SPECIALIST.....	VELLAMARAY H. GRAHAM.....	842-7658

OFFICE OF REGULATION #2

SENIOR TRIAL COUNSEL, REORGANIZATION.....	E. GORDON ROBINSON.....	842-7625
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REGION 3: MRO, Trial Unit (Continued)

	Area Code (312)
ASSISTANT REGIONAL DIRECTOR, ENFORCEMENT #5.....	SCOTT J. HLAVACEK..... 353-1679
BRANCH OF ACCOUNTING & INVEST. #1.....	EVELYN T. KENDRA..... 886-0493
BRANCH OF ACCOUNTING & INVEST. #2.....	DELIA L. HELPINGSTINE..... 353-0818
ASSISTANT REGIONAL DIRECTOR, ENFORCEMENT #6.....	JOHN R. LEE..... 886-2247
SENIOR TRIAL COUNSEL.....	ANGELA D. DODD..... 353-7400
ASSISTANT REGIONAL DIRECTOR, ENFORCEMENT #7.....	JOHN J. SIKORA..... 353-7418
BRANCH OF ENFORCEMENT #9.....	KENT W. MCALLISTER..... 353-7389
BRANCH OF ENFORCEMENT #10.....	ASHEESH GOEL..... 353-0626
OFFICE OF ASSOCIATE REGIONAL DIRECTOR EXAMINATIONS	
ASSOCIATE REGIONAL DIRECTOR.....	JOHN R. BRISSMAN..... 353-7436
ASSOCIATE REGIONAL DIRECTOR.....	JEANNETTE L. LEWIS..... 353-7410
SENIOR SPECIAL COUNSEL.....	RICHARD J. GORMAN..... 886-3953
ASSISTANT REGIONAL DIRECTOR, OFFICE OF EXAMINATIONS #1.....	THOMAS F. MURPHY..... 886-8513
ATTORNEY-ADVISOR.....	DIANE L. DALLIANIS..... 886-8519
BRANCH OF B/D & T/A EXAMINATIONS #1.....	RICHARD P. WENTZLAFF..... 886-8523
BRANCH OF B/D & T/A EXAMINATIONS #2.....	CHARLES M. DONOHUE..... 886-8512
ASSISTANT REGIONAL DIRECTOR, OFFICE OF EXAMINATIONS #2.....	LAWRENCE E. KENDRA..... 886-8508
SPECIAL COUNSEL.....	JOHN F. KERN..... 886-8505
BRANCH OF B/D & T/A EXAMINATIONS #3.....	GEORGE BUHAI-JACOBUS..... 886-8507
BRANCH OF B/D & T/A EXAMINATIONS #4.....	VINCENT J. MARVIC..... 886-8506
ASSISTANT REGIONAL DIRECTOR, OFFICE OF EXAMINATIONS #3.....	J. GARY HOPKINS..... 886-8511
BRANCH OF INVESTMENT MGMT. EXAM. #5.....	CRAIG E. CARLSON..... 886-8504
BRANCH OF INVESTMENT MGMT. EXAM. #6.....	STEVEN J. ARQUILLA..... 886-8171
ASSISTANT REGIONAL DIRECTOR, OFFICE OF EXAMINATIONS #4.....	DOUGLAS R. ADAMS..... 353-7402
BRANCH OF INVESTMENT MGMT. EXAM. #1.....	CHARLES H. KORETKE..... 353-2655
BRANCH OF INVESTMENT MGMT. EXAM. #2.....	VACANT..... 886-1494
ATTORNEY ADVISOR.....	ERIK J. LILLYA..... 353-1568
ASSISTANT REGIONAL DIRECTOR, OFFICE OF EXAMINATIONS #5.....	THOMAS N. KIRK..... 886-3956
BRANCH OF INVESTMENT MGMT. EXAM. #3.....	DIANE M. FARLEY..... 886-3951
BRANCH OF INVESTMENT MGMT. EXAM. #4.....	PETER B. DRISCOLL..... 886-1715
ATTORNEY-ADVISOR.....	WENDY D. FOX..... 886-3944
ASSISTANT REGIONAL DIRECTOR OFFICE OF EXAMINATIONS #6.....	MAUREEN S. DEMPSEY..... 886-1496
BRANCH OF INVESTMENT MGMT. EXAM. #5.....	LAZARO RENDON..... 353-3368
BRANCH OF INVESTMENT MGMT. EXAM. #6.....	BELINDA A. GRIFFIN..... 353-1747
ASSISTANT REGIONAL DIRECTOR OFFICE OF EXAMINATIONS #7.....	LARRY P. PURDUE..... 353-7219
BRANCH OF INVESTMENT MGMT. EXAM. #7.....	CYNTHIA L. DRAGT..... 886-1494
BRANCH OF INVESTMENT MGMT. EXAM. #8.....	VACANT..... 353-
ASSISTANT REGIONAL DIRECTOR OFFICE OF EXAMINATIONS #8.....	LOUIS A. GRACIA..... 353-6888
BRANCH OF INVESTMENT MGMT. EXAM. #9.....	ART STOLL..... 353-6886
BRANCH OF INVESTMENT MGMT. EXAM. #10.....	VACANT..... 353-



REGION 4

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

CENTRAL REGIONAL OFFICE

1801 CALIFORNIA STREET
SUITE 1500
DENVER, COLORADO 80202-2656

COMMERCIAL/FTS : 303-844-1000
TDD/TTY : 303-844-1000
FAX : 303-844-1010
OFFICE HOURS : 8:00 - 4:30 MST
WASHINGTON TIME : 10:00 - 6:30

Table with 3 columns: Position Name, Name, and Area Code (303). Includes roles like REGIONAL DIRECTOR, SENIOR COUNSEL, TRIAL COUNSEL, and ASSISTANT REGIONAL DIRECTOR.

REGION 4: FWDO (Continued)

TRIAL UNIT

	<u>Area Code (303)</u>
DISTRICT TRIAL COUNSEL.....STEVEN J. KOROTASH.....	978-6490
TRIAL COUNSEL.....TIMOTHY P. DAVIS.....	978-6438
TRIAL COUNSEL.....J. KEVIN EDMUNDSON.....	978-1411
TRIAL COUNSEL.....MARSHALL M. GANDY.....	978-6464
TRIAL COUNSEL.....TOBY M. GALLOWAY.....	978-6447
TRIAL COUNSEL.....HAROLD R. LOFTIN.....	978-6450
TRIAL COUNSEL.....JEFFREY B. NORRIS.....	978-6452
FAX.....	978-4927

OFFICE OF REGULATION

ASSOCIATE DISTRICT ADMINISTRATOR.....HUGH M. WRIGHT.....	978-6474
FAX.....	978-3755
SENIOR COUNSEL.....THOMAS J. BAUDHUIN.....	978-6466
INVESTOR ASSISTANT SPECIALIST.....BARBARA A. RAY.....	978-6465
FAX.....	978-2700

ASSISTANT DISTRICT ADMINISTRATOR, BD/TA.....JULIE A. PREUITT.....	978-6428
BRANCH CHIEF, BD/TA #1.....ANTHONY P. MCNEAL.....	978-6426
BRANCH CHIEF, BD/TA #2.....VALERIA D. BUSCHFORT.....	978-6434
FAX.....	978-4935

ASSISTANT DISTRICT ADMINISTRATOR, IC/IA #1.....JAMES H. PERRY.....	978-6439
BRANCH CHIEF, IC/IA #1.....CHARLES L. AMSLER.....	978-6463
BRANCH CHIEF, IC/IA #2.....DAVID W. TAYLOR.....	978-1414
FAX.....	978-3755

ASSISTANT DISTRICT ADMINSTRATOR, IC/IA #2.....ROBERT B. PIKE.....	978-6444
BRANCH CHIEF, IC/IA #3.....MARY D. WALTERS.....	978-6487
BRANCH CHIEF, IC/IA #4.....KINBERLY GARBER.....	900-2622
FAX.....	978-4944

REGION 4

**SALT LAKE DISTRICT OFFICE**

15 W. SOUTH TEMPLE STREET  
SUITE 1800  
SALT LAKE CITY, UTAH 84101

COMMERCIAL/FTS	: 801-524-5796
FAX	: 801-524-3558
DISTRICT ADMIN.'S FAX	: 801-524-3133
TRIAL UNIT FAX	: 801-524-5262
REGULATION FAX	: 801-524-5263
OFFICE HOURS	: 8:00 - 4:30 MST
WASHINGTON TIME	: 10:00 - 6:30

	<u>Area Code (801)</u>
DISTRICT ADMINISTRATOR.....KENNETH D. ISRAEL, JR.....	524-6745
FAX.....	524-3133
ADMINISTRATIVE CONTACT.....SCOTTY ZAMORA-TUELLER.....	524-5798
DISTRICT TRIAL COUNSEL.....THOMAS M. MELTON.....	524-6748
TRIAL COUNSEL.....KAREN L. MARTINEZ.....	524-5799
BRANCH CHIEF, ENFORCEMENT.....VACANT.....	524-
BRANCH CHIEF, REGULATION.....FLOYD G. HASTINGS.....	524-6739

REGION 5: PRO (Continued)

OFFICE OF REGULATION

		<u>Area Code (323)</u>
ASSOCIATE REGIONAL DIRECTOR.....	ROSALIND R. TYSON.....	9TH 965-3893
CHIEF REGULATION ACCOUNTANT.....	STAN C. MAEKAWA.....	9TH 965-3922
BANKRUPTCY COUNSEL.....	SANDRA LAVIGNA.....	9TH 965-3996
BANKRUPTCY COUNSEL.....	SARAH D. MOYED.....	9TH 965-3896
ASSISTANT REGIONAL DIRECTOR (REG. #1) ..	MICHAEL P. LEVITT.....	9TH 965-2684
CHIEF, BRANCH OF IC/IA EXAM #1.....	K. SHANE BREFFITT.....	9TH 965-2619
CHIEF, BRANCH OF IC/IA EXAM #2.....	CHARLES T. LIAO.....	9TH 965-2688
ASSISTANT REGIONAL DIRECTOR (REG. #2) ..	CINDY S. WONG.....	9TH 965-3927
CHIEF, BRANCH OF BD EXAMS #1.....	ERIK BARKER.....	9TH 965-3981
CHIEF, BRANCH OF BD EXAMS #2.....	SANG LEE.....	9TH 965-3955
ASSISTANT REGIONAL DIRECTOR (REG. #3) ..	PAULA WEISER.....	9TH 965-3252
CHIEF, BRANCH OF IC/IA EXAM #3.....	JANICE H. NUMATA.....	9TH 965-3210
CHIEF, BRANCH OF IC/IA EXAM #4.....	THOMAS MACKIN.....	9TH 965-3940
ASSISTANT REGIONAL DIRECTOR (REG. #4) ..	MARTIN J. MURPHY.....	9TH 965-3859
CHIEF, BRANCH OF BD EXAMS #3.....	GLORIA P. LUMBA.....	9TH 965-2692
CHIEF, BRANCH OF BD EXAMS #4.....	MICHELLE L. ROYSTON.....	9TH 965-3935
ASSISTANT REGIONAL DIRECTOR (REG. #5) ..	KEVIN GOODMAN.....	9TH 965-2653
CHIEF, BRANCH OF IC/IA EXAM #5.....	DANIEL C. JUNG.....	9TH 965-2667
CHIEF, BRANCH OF IC/IA EXAM #6.....	YANNA STOYANOFF.....	9TH 965-3236

**SAN FRANCISCO DISTRICT OFFICE**

44 MONTGOMERY STREET  
 SUITE 2600  
 SAN FRANCISCO, CALIFORNIA 94104

COMMERCIAL/FTS : 415-705-2500  
 TDD/TTY : 415-705-2517  
 Room Reservat'n: 415-705-2500  
 FAX : 415-705-2501 (26th Floor)  
           : 415-705-2331 (27th Floor)  
           : 415-705-2330 (28th Floor)  
 Bldg. Security : 415-433-4163  
 OFFICE HOURS : 8:30 - 5:00 PST  
 WASHINGTON TIME: 11:30 - 8:00

		<u>Area Code (415)</u>
DISTRICT ADMINISTRATOR.....	HELANE L. MORRISON.....	705-2450
SECRETARY.....	WILDA A. UCLUSIN.....	705-2446

DISTRICT TRIAL COUNSEL

DISTRICT TRIAL COUNSEL, SUPV.....	JAMES A. HOWELL.....	705-2356
DISTRICT TRIAL COUNSEL.....	ROBERT L. MITCHELL.....	705-2351
DISTRICT TRIAL COUNSEL.....	SUSAN F. LAMARCA.....	705-2456
DISTRICT TRIAL COUNSEL.....	JOHN S. YUN.....	705-2468
PARALEGAL SPECIALIST.....	JANET L. JOHNSTON.....	
PROGRAM SUPPORT SPEC./ADMIN. CONTACT..	BARBARA BENJAMIN.....	705-2447

OFFICE OF INVESTOR SERVICES

SENIOR SPECIAL COUNSEL.....	JUDITH L. ANDERSON.....	705-2352
INVESTOR ASSISTANCE SPECIALIST.....	CHERYL M. LAWSON.....	705-2479
INVESTOR ASSISTANCE SPECIALIST.....	SUSAN LEE.....	705-2478

REGION 5: SFDO, Office of Regulation (Continued)

		<u>Area Code (415)</u>
EXAMINER.....	JESSICA R. CATAUDELLA.....	705-2465
EXAMINER.....	VIVIEN LIN.....	705-2486
STAFF ACCOUNTANT.....	THOMAS J. DUTTON.....	705-2359
EXAMINER.....	ROBYN HOOVER.....	293-0307
CHIEF, BRANCH OF IC/IA EXAM #2.....	WARREN J. MUISE.....	705-2473
EXAMINER.....	THOMAS E. GRENVILLE.....	705-2327
EXAMINER.....	JEFFEREY W. LEWIS.....	293-0302
STAFF ACCOUNTANT.....	NICHOLAS RITROVATO.....	705-2357
EXAMINER.....	KAREN STEFFENS.....	293-0308
STAFF ACCOUNTANT.....	BERNICE Y. YOU.....	705-2469
CHIEF, BRANCH OF IC/IA EXAM #3.....	EDWARD G. HADDAD.....	705-2344
EXAMINER.....	ELLEN L. DAY.....	293-0304
STAFF ACCOUNTANT.....	GEORGETTE C. FREEMAN.....	705-2472
EXAMINER.....	KENNETH P. SCHNEIDER.....	705-2329
STAFF ACCOUNTANT.....	STEVEN R. WOLZ.....	705-2336
ASST. DISTRICT ADMINSTRATOR (IC/IA).....	JOHN D. SWAYZE.....	705-2466
CHIEF, BRANCH OF IC/IA EXAM #4.....	JOHN CHEE.....	705-2337
STAFF ACCOUNTANT.....	CINDY N. COOPER.....	705-2355
EXAMINER.....	RICKY FLANDERS.....	705-2324
EXAMINER.....	MATTHEW KAMIYA.....	293-0306
STAFF ACCOUNTANT.....	MICHEAL H. LINVILL.....	705-2323
EXAMINER.....	CHRISTINE PELHAM.....	705-2347
CHIEF, BRANCH OF IC/IA EXAM #5.....	MATTHEW M. O'TOOLE.....	705-2477
EXAMINER.....	PETER D. BLOOM.....	705-2428
EXAMINER.....	CAROLINE SMITH.....	705-2358
STAFF ACCOUNTANT.....	ALICIA M. SUAREZ.....	705-1357
STAFF ACCOUNTANT.....	VACANT.....	705-
CHIEF, BRANCH OF IC/IA EXAM #6.....	ERICA R. GOULD.....	705-2470
EXAMINER.....	BARRY L. BUNTE.....	705-2354
EXAMINER.....	PAVITA FLEISCHER.....	293-0311
EXAMINER.....	BENJAMIN C. SANDERS.....	705-2326
STAFF ACCOUNTANT.....	CINDY Y. TOM.....	293-0305
EXAMINER.....	ADRIANA YASIN.....	705-2471
ASST. DISTRICT ADMINISTRATOR (BD).....	JENNET LEONG.....	705-2452
COMPLIANCE ASSITANT.....	PETER ORTIZ.....	705-1102
CHIEF, BRANCH OF BD EXAM #1.....	RUTH E. WARREN.....	705-2345
EXAMINER.....	BRAD DARFLER.....	705-2363
EXAMINER.....	CRAIG W. HAUGER.....	705-2462
STAFF ACCOUNTANT.....	FRED D. JOLIVET.....	705-2464
EXAMINER.....	JEFFREY A. LYTTLE.....	705-2341
EXAMINER.....	VACANT.....	705-
CHIEF, BRANCH OF BD EXAM #2.....	MARCUS CHAN.....	705-2342
STAFF ACCOUNTANT.....	RAYMOND L. CLARK.....	705-2463
EXAMINER.....	VACANT.....	705-
STAFF ACCOUNTANT.....	MICHAEL H. MARTIN.....	705-2346
STAFF ACCOUNTANT.....	MARILYN J. MOODIE.....	705-2454
STAFF ACCOUNTANT.....	AUDREY SZANTO.....	705-2475
EXAMINER.....	STEPHANIE WILSON.....	705-2362
INVESTOR ASSISTANCE SPECIALIST.....	CHERYL M. LAWSON.....	705-2479
INVESTOR ASSISTANCE SPECIALIST.....	SUSAN LEE.....	705-2478
INVESTOR ASSISTANCE SPECIALIST.....	CHERYL M. LAWSON.....	705-2479



<u>PROGRAM</u>	<u>PROGRAM SECTION</u> <u>NAME</u>	<u>ORG.</u> <u>CODE</u>	<u>ROOM</u> <u>NO.</u>	<u>BLDG/</u> <u>ZIP+4***</u>	<u>TELEPHONE</u> <u>NUMBER***</u>
ACCOUNTANTS:					
Auditing.....	Ed Bailey	OCA	11217	JP/1103	x4400
Disciplinary Proceedings.....	Michael J. Kigin	OCA	11200	JP/1103	x4400
Qualifications to Practice					
- U.S.....	Michael J. Kigin	OCA	11200	JP/1103	x4400
- Int'l.....	Michael J. Kigin	OCA	11110	JP/1103	x4400
International.....	Susan Koski-Grafer	OCA	11206	JP/1103	x4400
Independence.....	Ed Bailey	OCA	11217	JP/1103	x4400
Oversight of Accounting					
Standards-Setters.....	Shelly Luisi	OCA	11200	JP/1103	x4400
Interpretation of					
Accounting Standards.....	Jenifer Minke-Girard	OCA	11200	JP/1103	x4400
ACCOUNTING					
General Registration Info.....	Craig Olinger	CF	3512	JP/0410	x2960
ACQUISITIONS & TENDER OFFERS					
[Schedules 13D and 14D]					
Interpretations & Policy.....	Mergers/Acquisitns	CF	3002	JP/0303	x2920
Enforcement Questions.....	Vacant	ENF	7008	JP/0707	x4652
Utility Holding Companies.....	M. Cathey Baker	IM	9007	901/0503	x0545
Market Trading Practices.....	James Brigagliano	MR	10012	JP/1009	x0749
ADMINISTRATIVE PROCEEDINGS.....					
Admin. Unit		OS	1C15	JP/0003	x7070
ADMINISTRATIVE PROCEDURE ACT.....					
Diane Sanger		OGC	6422	JP/0606	x0960
AFRICAN AMERICAN EMPLOYMENT.....					
Dwayne Boyd		EEO	10117	901/0212	x0045
ALTERNATIVE DISPUTE RESOLUTION					
D. Leah Meltzer		OGC	2201	JP/0606	x0048
AMERICAN INDIAN HERITAGE.....					
Ilene Citrin		EEO	10125	901/0212	x7362
AMICUS CURIAE PARTICIPATN BY SEC					
Jacob Stillman		OGC	6142	JP/0606	x0930
ANNEX BUILDING					
Security Guard.....	Main Entrance				x7878
Health Unit (Operations Ctr.)	Sharon Mahler, BSN	HHS	2700	OPC/0-11	x4973
Facilities.....	Harry Fleming	OAS	1428	OPC/0-12	x4008
Mail.....	Harry Fleming	OAS	1428	OPC/0-12	x4008
ANNUAL REPORT					
Submission of material.....	Darlene Pryor	OED	11007	JP/1101	x4307
Copies of - SEC Staff Only.....	Publications	OAS	3C45	JP/0011	x4040
- Public.....	U.S. Government Printing Office			(202) 512-1800	
APPEALS FROM INJUNCTION ACTIONS					
AND ADMINISTRATIVE PROCEEDINGS..	Jacob Stillman	OGC	6142	JP/0606	x0930
APPEALS/NOTICES BY SROs OF FINAL					
DISCIPLINARY ACTIONS					
(Rule 19d-1).....	Eric Swanson	OCIE	2044	901/0903	824-5420
Clearing Agencies.....	Jerry Carpenter	MR	10005	JP/1001	x0162
National Securities Assns.....	Katherine England	MR	10507	JP/1001	x0154
National Securities Exchanges..	Sharon Lawson	MR	10512	JP/1001	x0182
APPLICATION FOR EMPLOYMENT.....					
Personnel		OHR	1407	OPC/0-1	x4070
ARBITRATION.....					
Investor Ed.& Asst.		OIEA	2424	901/0213	x7040
Arbitration Pamphlets.....	Publications	OAS	3C45	JP/0011	x4040
ASIAN PACIFIC AMERICAN.....					
Maya Samma		EEO	10115	901/0212	x7206

\* Access this TDD/TTY number by calling the Federal Relay Service Operator at 1-800-877-8339.

\*\* Building Codes: JP (Judiciary Plaza), 901 (901 E St.), OPC (Operations Ctr.), A (Annex)

\*\*\* Area Code is (202) unless otherwise indicated. The prefix is "(202)942-" for numbers listed with an "x" in front of them.

**PROGRAM SECTION**

<u>PROGRAM</u>	<u>NAME</u>	<u>ORG. CODE</u>	<u>ROOM NO.</u>	<u>BLDG/ ZIP+4**</u>	<u>TELEPHONE NUMBER***</u>
BROKER-DEALERS, Continued...					
Qualifications.....	Katherine England	MR	10507	JP/1001	x0154
	Joseph Corcoran	MR	10314	JP/1001	x0073
Re-entry Applications.....	Kenneth H. Hall	ENF	8210	JP/0809	x4635
Recordkeeping.....	Thomas McGowan	MR	10114	JP/1001	x0177
Registration Package.....	Publications	OAS	3C45	JP/0011	x4040
Registrations Processing.....	Registrations/Exams	OFIS	2600	OPC/0-2	x7820
Registration Requirements.....	Chief Counsel	MR	10305	JP/1001	x0073
Rule 17a-3.....	Thomas McGowan	MR	10114	JP/1001	x0177
Rule 17a-4.....	Thomas McGowan	MR	10114	JP/1001	x0177
Rule 17a-11.....	Michael Macchiaroli	MR	10304	JP/1001	x0132
Rule 17a-23.....	Gordon Fuller	MR	10428	JP/1001	x0792
Rules 19d-1.....	Eric Swanson	OCIE	2044	901/0903	824-5420
SIPC.....	Thomas McGowan	MR	10114	JP/1001	x0177
Statistics.....	Carol Charnock	MR	10437	JP/1001	x0142
		OEA		901/1105	x8020
Technology & Computer Systems..	Keith Riley	MR	10417	JP/1001	x0768
Withdrawal Processing.....	Registrations/Exams	OFIS	2600	OPC/0-25	x7820
BUDGET MATTERS.....					
	Diane E. Galvin	OFM	2813	OPC/0-3	x0351
	Gregory D. Trygg	OFM	2812	OPC/0-3	x0357
BUILDING MAINTENANCE					
Judiciary Plaza.....	Gail Sneed	OAS	2C05	JP/0008	x4010
901 E Street.....	Phyllis Somers	OAS	1022	901/0008	x0121
Operations Center.....	Mike French	OAS	1427	OPC/0-1	x4015
	Steve Brunton			OPC/0-1	x8948
Annex.....	Mike French	OAS	1427	OPC/0-1	x4015
	Steve Brunton			OPC/0-1	x8948
BULLETIN BOARDS					
Judiciary Plaza.....	Gail Sneed	OAS	2C05	JP/0008	x4010
901 E Street.....	Phyllis Somers	OAS	1022	901/0008	x0121
Operations Center.....	Shirley Chestnut	OAS	1604	OPC/0-12	x4942
CALENDAR ITEMS.....					
		OS	6500	JP/0609	x7070
CAPITAL MARKETS					
New Issues Markets.....		OEA		901/1105	x8020
Securities Trading Statistics..		OEA		901/1105	x8020
CARPOOL INFORMATION					
Judiciary Plaza.....	Michele Martin	OAS	2C07	JP/0008	x4010
901 E Street.....	Phyllis Somers	OAS	1022	901/0008	x0121
CATS (Case Activity Track. Sys.)					
	Debra Kittredge	ENF	8208	JP/0809	x4674
CERTIFICATIONS (Attestations)					
& Proof of Official Record.....	Records Management	OFIS	1503	OPC/0-26	x7800
CHILD CARE INFORMATION (See <a href="http://intranet.sec.gov/worklife">http://intranet.sec.gov/worklife</a> )					
Back-Up Childcare.....	Carol Hallowell	OHR	2400	OPC/0-1	x7794
Childcare Subsidy Program.....	Carol Hallowell	OHR	2400	OPC/0-1	x7794
CHILD CARE CENTERS, BACK-UP					
BOSTON (FINANCIAL CTR).....					(617) 348-8320
BOSTON (BACK BAY).....					(617) 728-9100
BURBANK, CA.....					(818) 526-0580
CHICAGO (CENTRAL LOOP).....					(312) 853-3299
CHICAGO (EAST LOOP).....					(312) 616-6690
CHICAGO (WEST LOOP).....					(312) 876-8687
IRVINE, CA.....					(949) 261-1200
LOS ANGELES.....					(213) 623-0072
NEW JERSEY (JERSEY CITY).....					(201) 610-0422
NEW JERSEY (FLORHAM PARK).....					(973) 443-0366

\* Access this TDD/TTY number by calling the Federal Relay Service Operator at 1-800-877-8339.

\*\* Building Codes: JP (Judiciary Plaza), 901 (901 E St.), OPC (Operations Ctr.), A (Annex)

\*\*\* Area Code is (202) unless otherwise indicated. The prefix is "(202)942-" for numbers listed with an "x" in front of them.

**PROGRAM SECTION**

<u>PROGRAM</u>	<u>NAME</u>	<u>ORG. CODE</u>	<u>ROOM NO.</u>	<u>BLDG/ ZIP+4**</u>	<u>TELEPHONE NUMBER***</u>
CONFERENCE ROOM RESERVATIONS (approximate number each room holds), Continued...					
Room 8120 (44)	Sheila Russell	ENF	8215	JP/0800	x4500
Room 1C30 (265) "Douglas Room"					
(Front half-115)					
(Back half -150)	Ida Williams	OS	6500	JP/0609	x7070
	Linda Cullen	OS	6500	JP/0609	x7070
<u>901 E Street:</u>					
Room 407 (8)	Amie Kuhn	OHR	2903	OPC/0-21	x8666
	Lamica Reed	OHR	2903	OPC/0-21	x4989
Room 408 (8)	Amie Kuhn	OHR	2903	OPC/0-21	x8666
	Lamica Reed	OHR	2903	OPC/0-21	x4989
Room 8047 (14)	Anthony S. Tolliver	IM	8056	901/0504	x0660
Room 9005 (15)	Belinda Goodman	IM	9000	901/0503	x0545
Room 6080 (20)	Dee Blagmon	OIA	6101	901/1104	x2772
Room 411 (20)	Leslee Addison	OCIE	2068	901/0902	x7400
	Michelle Conner	OCIE	2076	901/0905	x7400
Room 1100 (25)	Amie Kuhn	OHR	2903	OPC/0-21	x8666
	Lamica Reed	OHR	2903	OPC/0-21	x4989
Room 8077 (26)	LaKisha R. Smith	IM	8000	901/0504	x0545
Room 3001 (35)	Leslee Addison	OCIE	2068	901/0902	x7400
Room 410 (50)	Amie Kuhn	OHR	2903	OPC/0-21	x8666
	Lamica Reed	OHR	2903	OPC/0-21	x4989
Room 2001 (60)					
(1/2-20, 1/2-40)	Leslee Addison	OCIE	2068	901/0902	x7400
	Michelle Conner	OCIE	2076	901/0905	x7400
Room 8025 (65)	Patricia G. Martin	IM	8031	901/0504	x0710
<u>Operations Center:</u>					
Room 1001 (10)	Shirley Chestnut	OAS	1604	OPC/0-12	x4942
Room 1006 (10)	Shirley Chestnut	OAS	1604	OPC/0-12	x4942
Room 1116 (15)	Louise Hoskins	OIT	2110	OPC/0-4	x8800
Room 2818 (25)	Deidra Starks	OFM	2817	OPC/0-3	x0342
Room 2900 (25)	Amie Kuhn	OHR	2903	OPC/0-21	x8666
	Lamica Reed	OHR	2903	OPC/0-21	x4989
Room 1406 (25)	Andrena Lewis	OHR	1404	OPC/0-1	x4000
Room 2157 (30)	Louise Hoskins	OIT	2110	OPC/0-4	x8800
Room 2111 (30)	Louise Hoskins	OIT	2110	OPC/0-4	x8800
Room 2901 (40)	Amie Kuhn	OHR	2903	OPC/0-21	x8666
	Lamica Reed	OHR	2903	OPC/0-21	x4989
Room 2154 (80)	Louise Hoskins	OIT	2110	OPC/0-4	x8620
CONFIDENTIAL TREATMENT REQUESTS					
Receipt of Request	FOIA/PA	OFIS	2300	OPC/0-5	x4320
Procedures	FOIA/PA	OFIS	2300	OPC/0-5	x4320
CONFIRMATIONS (Rule 10b-10)	Chief Counsel	MR	10305	JP/1001	x0073
CONGRESSIONAL INQUIRIES		OLA	6100	JP/0602	x0010
CONSTRUCTION Industry Group	Pamela Long	CF	4214	JP/0404	x1950
CONSUMER AFFAIRS	Investor Ed.&Asst.	OIEA		901/0213	x7040
CONSUMER PRODUCTS Industry Group	Christopher Owings	CF	3408	JP/0308	x1900
CONTINUANCE/RE-ENTRY APPLICATIONS					
(Rule 19h-1)	Chief Counsel	MR	10305	JP/1001	x0073
	Kenneth H. Hall	ENF	8311	JP/0809	x4635
CONTRACTING	Procurement	OAS	1300	OPC/0-20	x4990
COPY CENTER		OAS	5602		x4134

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**PROGRAM SECTION**

<u>PROGRAM</u>	<u>NAME</u>	<u>ORG. CODE</u>	<u>ROOM NO.</u>	<u>BLDG/ ZIP+4**</u>	<u>TELEPHONE NUMBER***</u>
CUSTOMER CARE CENTER (Computers)	Help Desk	OIT	2305	JP/0210	x4357
		OIT	6029	901/	824-5183
CUSTOMER PROTECTION/RESERVE REQUIREMENTS (Rule 15c3-3).....	Thomas McGowan	MR	10114	JP/1001	x0177
DATA CENTER.....	Judiciary Plaza	OIT	1C80	JP/0210	x4876
	Operations Center	OIT	1500	OPC/0-5	x8879
DAY PASS					
Judiciary Plaza.....	LOBBY				x4106
901 E Street.....	LOBBY				x8686
Operations Center.....	Main Entrance				x8642
	North Entrance				x8860
Annex.....	Main Entrance				x7878
DEAF AND HARD OF HEARING EMPLOYEES LIAISONS.....	Rochelle Franks	OHR	2C42	JP/0015	x9558 TTY* x4158 voice
	Karen M. Smith	EEO	10103	901/0212	x0055
DECISIONS & OPINIONS OF THE COMMISSION.....	Anne E. Chafer	OGC	6144	JP/0606	x0950
DEFENSE OF ACTIONS AGAINST COMMISSION & STAFF.....	Jacob Stillman	OGC	6142	JP/0606	x0930
	Richard Humes	OGC	2180	JP/0212	x0940
DELINQUENCY CONTROL.....	Filer Support I	OFIS	2200	OPC/0-7	x8920
DELINQUENT REPORTS.....	David Frye	ENF	7420	JP/0703	x4608
DELISTING OF EXCHANGE SECURITIES	Sharon Lawson	MR	10512	JP/1001	x0182
DEPOSITORIES.....	Jerry Carpenter	MR	10005	JP/1001	x0162
DESKTOP PUBLISHING.....	(See Publishing)				
DIRECTORY BOARDS.....	Carolyn Brown	OAS	1403	OPC/0-1	x4000
	Jackie Contee	OAS	1C38	JP/0019	x4047
DISABILITY EMPLOYMENT.....	Karen M. Smith	EEO	10103	901/0212	x0055
DISABILITY EMPLOYMENT INFORMATION Accommodations.....	Rochelle Franks	OHR	2C42	JP/0015	x9558 TTY* x4158 voice
DISCLOSURE OBLIGATIONS (1933-1934 Acts).....	Chief Counsel	CF	4105	JP/0402	x2900
DISCOUNT BROKERS.....	Chief Counsel	MR	10305	JP/1001	x0073
DISCRIMINATION BY BROKER-DEALERS REGARDING MARGIN.....	Investor Ed.&Asst.	OIEA	2424	901/0213	x7040
DOCKET					
Preparation & Submission.....	Veronica Gillette	OS	6500	JP/0609	x7070
	Areava Evans	OS	6500	JP/0609	x7070
Copies (SEC Staff Only).....	Publications	OAS	3C45	JP/0011	x4040
Microfiche (Public).....	U.S. Government Printing Office			(202) 512-1800	
DOCUMENTARY MATERIALS AVAILABLE IN SEC Copies of.....	Publications	OAS	3C45	JP/0011	x4040
EAP (Employee Assistance Program) (Available 24-Hours for all employees)					1-800-222-0364

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**PROGRAM SECTION**

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EMPLOYMENT INFORMATION.....	Class.& Staffing	OAS		OPC/0-1	x4070
ENFORCEMENT					
Press Liaison.....	John Heine	OPA	7103	JP/0701	x0022
ENFORCEMENT ASSIGNMENTS, Cases Involving...					
Market Regulation and Insider Trading:					
	Charlotte Buford	ENF	8404	JP/0809	x4758
	Heidi Mayor	ENF	8419	JP/0809	x4784
	Kerry Knowles	ENF	8319	JP/0809	x4823
	Glenn Gentry	ENF	8401	JP/0809	x4614
	Christina Yu	ENF	8403	JP/0809	x4521
Investment Management:					
	Nancy Doty	ENF	8402	JP/0809	x4536
	Lidian Pereira	ENF	8401	JP/0809	x7141
	Laurie Stewart	ENF	8322	JP/0809	x4807
	Michael Coe	ENF	8407	JP/0809	x4769
	Christina Yu	ENF	8403	JP/0809	x4521
Financial Fraud and Accounting Issues:					
	Jacqueline Berman	ENF	8405	JP/0809	x4754
	Eric Werner	ENF	8317	JP/0809	x7930
	Laura Jarsulic	ENF	8330	JP/0809	x4662
	Christina Yu	ENF	8403	JP/0809	x4521
EQUAL CREDIT OPPORTUNITY ACT.....	Thomas McGowan	MR	10114	JP/1001	x0177
Consumer Affairs.....	Investor Ed/Asst.	OIEA	2424	901/0213	x7040
EQUAL EMPLOYMENT OPPORTUNITY OFFICE -See EEO office on Insider					
DIRECTOR.....	Deborah Balducchi	EEO	10100	901/0212	x0041
FAX.....					x9547
TDD/TTY.....					1-800-877-8339
EEO Counseling.....	Cynthia Owens	EEO	10126	901/0212	x0047
EEO Counselors, Headquarters (Employees may call any EEO counselor):					
	Terri Booker	ENF	8027	JP/0806	x4824
	Jeanne Sizoo-Bennett	CF	3222	JP/0306	x1915
	James Chan	OCIE	2067	901/0902	x7485
	Gopal Dharia	CF	3405	JP/0308	x1973
	Mary Smittick	OCA	11203	JP/1103	x4403
	Melody Adams	OFIS	2300	OPC/0-5	x4328
	Lillie Brown	OFIS	1004	JP/0104	x7135
EEO Counselors, Field Offices (Employees may call any EEO counselor):					
Northeast Region.....	Audry Weintrob	New York			(646)428-1937
	Frank Hooper	Boston			(617)573-8958
	Celeste Chase	Philadelphia			(215)597-0209
Southeast Region.....	William S. Dixon	Atlanta			(404)842-7615
	Walter Mathews	Miami			(305)982-6335
Midwest Region.....	Martha Biegel	Chicago			(312)353-1569
	Delia Helpingstine	Chicago			(312)353-0818
Central Region.....	Timothy Dunn	Denver			(303)844-1059
	Anthony McNeal	Fort Worth			(817)978-6426
	Norman J. Korb	Salt Lake City			(801)524-6744
Pacific Region.....	Laura Coty	Los Angeles			(323)525-3652
	Adrienne F. Miller	San Francisco			(415)705-2467
	Elizabeth Smith	Los Angeles			(323)965-3994
	Christyne Vachon	Los Angeles			(323)965-3856

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PROGRAM	PROGRAM SECTION		ORG. CODE	ROOM NO.	BLDG/ ZIP+4**	TELEPHONE NUMBER***
	NAME					
ETHICS LIAISONS, Continued...						
{L} - LIAISON OFFICERS	L- Amy Edwards	OE A		6063	901/1105	x8034
{D} - DEPUTIES	L- George Eckard	OIT		2109	OPC/0-4	x8819
	D-	OIT			OPC/0-4	x
	L- Darlene Pryor	OED		11007	JP/1101	x4307
	L- Larry Mills	OFIS		1202	OPC/0-24	x7800
	DAEO -	OGC			JP/0606	x
Alternate DAEO -	Jacob Stillman	OGC		6138	JP/0606	x0910
	L- Barbara Hannigan	OGC		6114	JP/0606	x0970
	D- Audrey Bredhoff	OGC		6111	JP/0606	x0970
	D- William Lenox	OGC		6113	JP/0606	x0970
	D- Anita Purcell	OGC		6112	JP/0606	x0970
	D- Richard Connor	OGC		6115	JP/0606	x0970
	L- Mary Beth Sullivan	OIG		11538	901/1107	x4469
	D- Nelson Egbert	OIG		11536	901/1107	x4462
	D- Robert Strahota	OIA		11320	JP/1104	x2770
	L- Peter Kiernan	OLA		6017	JP/0602	x0015
	D- John Heine	OPA		2510	JP/0211	x0022
	L- Jonathan G. Katz	OS		6507	JP/0609	x7070
	D- Margaret McFarland	OS		6501	JP/0609	x7070
	L- Karen M. Smith	EEO		10103	901/0212	x0055
FIELD OFFICES						
REGION 1						
	L- John J. Graubard	NERO				(646) 428-1740
	D- Ronald S. Scaglione	NERO				(646) 428-1881
	D- Joseph S. Hirsch	NERO				(646) 428-1750
	L- Britt Collins	BDO				(617) 573-8930
	D- Andrew Caverly	BDO				(617) 573-8922
	L- Michael Novakovic	PDO				(215) 597-2985
	D- Carol Rosenblat	PDO				(215) 597-0734
REGION 2						
	L- David Chase	SERO				(305) 982-6363
	L- Gordon Robinson	ADO				(404) 842-7625
	D- William P. Hicks	ADO				(404) 842-7675
REGION 3						
	L- Wendy Fox	MRO				(312) 886-3944
	D- John F. Kern	MRO				(312) 886-8505
REGION 4						
	L- Robert M. Fusfeld	CRO				(303) 844-1080
	D- Elena Lawrence	CRO				(303) 844-1089
	L- Thomas Baudhuin	FWDO				(817) 978-6466
	D- Charles Amsler	FWDO				(817) 978-6463
	L- Ken Israel	SLDO				(801) 524-6749
	D- Tom Melton	SLDO				(801) 524-6748
REGION 5						
	L- Sarah D. Moyed	PRO				(323) 965-3896
	D- Kelly Bowers	PRO				(323) 965-3924

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FAX NUMBERS, Continued...					
Human Resources:					
	Benefits, Payroll, Personnel Rec.....			OPC	(703) 914-0571
	Classification & Staffing.....			OPC	(703) 256-2796 (703) 914-4230
	Employee Relations.....			OPC	(703) 914-1097
	Employee Development.....			OPC	(703) 914-1098
	Mini-Personnel Office.....			JP	x9619
Information Technology:					
	Director's Office.....			OPC	(202) 504-2475
	Office of ADP Services.....			OPC	(202) 504-2475
	Office of Edgar Management.....			OPC	(202) 504-2475
	Office of Operations.....			OPC	(202) 504-2477
	Inspector General.....			901	x9653
	International Affairs.....			JP	x9524
	Investment Management.....			IM/OD 901	x9659
				IM/ODER 901	(202) 628-9002
				IM/ADM 901	(202) 628-0761
				IM/OIP 901	(202) 628-0760
				IM/OPUR 901	x9595
	Market Regulation Division.....			JP	x9643
	Public Affairs.....			JP	x9654
	Secretary's Office.....			JP	x9651
FEDERAL ADVISORY COMMITTEE ACT...		OGC	6415	JP/0606	x0870
FEDERAL REGISTER.....	Frances R. Sienkiewicz	OS	6500	JP/0609	x7072
	Naomi Perry	OS	6500	JP/0609	x7209
FEEES ON FILINGS.....	Fee Account Services	OFM	2600	OPC/0-6	x8989
FILES REQUESTS - Public.....	Public Reference	OFIS	1300	JP/0102	x8090
- Staff.....	Records Management	OFIS	1503	OPC/0-26	x7850
FILES REQUESTS					
Administrative Proceedings.....		OS	1C15	JP/0003	x7070
All Other Files Requests.....	Records Management	OFIS	1503	OPC/0-26	x7850
FILING DESK					
Receipt of filings - Open to					
Public 8:00 a.m.-5:30 p.m....	Filer Support II	OFIS	1004	JP/0104	x8050
FILINGS					
EDP Input.....	Filer Support II	OFIS	1004	JP/0104	x8050
Information re 1933 & 1934 Acts	See Assignments				
Received Over-the-Counter.....	Regis Unit('33 Act)	OFIS	1004	JP/0104	x8050
Received via Mail.....	Jim Doughty	OAS	2C51	JP/0013	x4045
Received by Personal Delivery/ Messengers.....	Henrietta Green	OAS	2C50	JP/0013	x4045
FINAL DISCIPLINARY ACTIONS					
(Rule 19d-1).....	Eric Swanson	OCIE	2044	901/0903	824-5420
FINANCIAL ACCOUNTING STANDARDS					
BOARD ACTIVITIES.....	Richard Reinhard	OCA	11037	JP/1103	x4400
FINGERPRINTING (Rule 17f-2).....	Thomas Etter, Jr.	MR	10006	JP/1001	x0178
FINS NUMBERS.....	Thomas Etter, Jr.	MR	10006	JP/1001	x0178
FINANCE AND ACCOUNTING.....	Darrell L. Dockery	OFM	2803	OPC/0-3	x0349

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PROGRAM	PROGRAM SECTION		ORG. CODE	ROOM NO.	BLDG/ ZIP+4**	TELEPHONE NUMBER***
	NAME					
25, Notification of the removal from listing and registration of matured, redeemed or retired securities.....	Sharon Lawson		MR	10512	JP/1001	x0182
17a-23, Information required of registered Broker-Dealer sponsor of Broker-Dealer trading sytem.....	Gordon Fuller		MR	10428	JP/1001	x0792
26, Notification of admission to trading of substituted or additional class of security under Rule 12z-5.....	Sharon Lawson		MR	10512	JP/1001	x0182
27, Notification of changes in securities admitted to unlisted trading privileges.....	Sharon Lawson		MR	10512	JP/1001	x0182
28, Notification of termination trading privileges.....	Sharon Lawson		MR	10512	JP/1001	x0182
1-A, Amendment to application for registration or exemption from registration as a national securities exchange.....	Sharon Lawson		MR	10512	JP/1001	x0182
1-A, Offering statement under Regulation A.....	John Reynolds		CF	3113	JP/0304	x2999
2-A, Report pursuant to Rule 257 of Regulation A.....	John Reynolds		CF	3113	JP/0304	x2999
2-E, Report of sales pursuant to Rule 609 of Regulation E.....	Chief Counsel		IM	8056	901/0504	x0659
13d, Beneficial ownership.....	Mergers/Acquisitns		CF	3015	JP/0303	x2920
13-F, Report of institutional investment managers.....	Chief Counsel		IM	8056	901/0504	x0659
13g, Acquisition statement.....	Mergers/Acquisitns		CF	3002	JP/0303	x2920
14d-1, Tender offer statement.....	Mergers/Acquisitns		CF	3002	JP/0303	x2920
20-F, For registration of securities of foreign private issuers pursuant to § 12(b) or 12(g), & for annual reports of foreign private issuers filing pursuant to §§ 12 or 15(d).....	Paul Dudek		CF	3010	JP/0302	x2990
1-G, Report of sales or oil or gas interests pursuant to Rules 300 through 346 (accorded confidential treatment).....	Chief Counsel		CF	4105	JP/0402	x2900
3-G, Report filed within three months after termination of oil or gas offering reporting results of the offering.....	Chief Counsel		CF	4105	JP/0402	x2900
6-K, Report of foreign issuers pursuant to Rules 13a-16 and 15d-16.....	Paul Dudek		CF	3010	JP/0302	x2990
8-K, For current reports pursuant to §13 or §15(d).....	Chief Counsel		CF	4105	JP/0402	x2900
10-K, Annual report pursuant to §13 or 15(d).....	Chief Counsel		CF	4105	JP/0402	x2900

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	Registrations/Exams	OFIS	2600	OPC/0-25	x7820
BDW, Notice of withdrawal from registration as a broker-dealer...	Registrations/Exams	OFIS	2600	OPC/0-25	x7820
	Chief Counsel	MR	10305	JP/1001	x0073
CA-1, Registration or exemption from registration as a (non-bank) clearing agency and for amendment.....	Jerry Carpenter	MR	10005	JP/1001	x4187
D, Notice of sales of securities under Regulation D.....	Gerald LaPorte	CF	3501	JP/0310	x2950
ET, Transmittal form to accompany diskette or magnetic tape EDGAR submissions.....	Filer Support I	OFIS	2200	OPC/0-7	x8900
F-1, Registration of all foreign private issuers eligible to use Form 20-F.....	Paul Dudek	CF	3010	JP/0302	x2990
F-2, Registration of securities which are offered or to be offered in any transaction other than an exchange offer for securities of another person...	Paul Dudek	CF	3010	JP/0302	x2990
F-3, Registration of securities of certain foreign private issuers offered pursuant to certain types of transactions.....	Paul Dudek	CF	3010	JP/0302	x2990
F-4, Registration of foreign securities issuers in business combination transactions.....	Paul Dudek	CF	3010	JP/0302	x2990
F-6, Registration of depository shares evidenced by American Depositary Receipts.....	Paul Dudek	CF	3010	JP/0302	x2990
ID, Uniform application for EDGAR identification no. & password.....	Filer Support I	OFIS	2200	OPC/0-7	x8900
MSD, Registration form for municipal securities dealers.....	Registrations/Exams	OFIS	2600	OPC/0-25	x7820
MSDW, Withdrawal from registration as a municipal securities dealer...	Registrations/Exams	OFIS	2600	OPC/0-25	x7820
N-1, Registration for insurance company separate account registered on Form N-8A.....	Insurance Products	IM	7049	901/0506	x0670
N-1A, Registration of open-end management investment company other than separate account of insurance company.....	Chief Counsel	IM	8056	901/0504	x0659
N-2, Registration of closed-end management investment company.....	Chief Counsel	IM	8056	901/0504	x0659
N-3, Registration for separate accounts organized as open-end management companies.....	Chief Counsel	IM	8056	901/0504	x0659
N-4, Registration for separate accounts organized as unit investment trusts.....	Chief Counsel	IM	8056	901/0504	x0659
N-5, Registration of small business investment company.....	Chief Counsel	IM	8056	901/0504	x0659

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PROGRAM SECTION		ORG.	ROOM	BLDG/	TELEPHONE
PROGRAM	NAME	CODE	NO.	ZIP+4**	NUMBER***
N-27D-1, Report of accounts of segregated trust by a closed-end investment company.....	Chief Counsel	IM	8056	901/0504	x0659
N-27D-2, Quarterly report for issuers of periodic payment plan certificates subject to the surrender right of § 27(d).....	Chief Counsel	IM	8056	901/0504	x0659
N-27E-1, Notice to periodic payment plan certificate holders of 18-month surrender rights.....	Chief Counsel	IM	8056	901/0504	x0659
N-27F-1, Notice to periodic payment plan certificate holder of 45-day withdrawal right.....	Chief Counsel	IM	8056	901/0504	x0659
N-27I-1, Notice of right of withdrawal and refund for variable life insurance contract holders....	Insurance Products	IM	7049	901/0506	x0670
N-27I-2, Notice of withdrawal right and statement of charges for variable life insurance contract holders.....	Insurance Products	IM	7049	901/0506	x0670
N-30A-2, Annual report of unit investment trusts which are currently issuing securities.....	Chief Counsel	IM	8056	901/0504	x0659
N-30A-3, Annual report of unincorporated management investment companies currently issuing periodic payment plan certificates.....	Chief Counsel	IM	8056	901/0504	x0659
N-54A, Notification of election to be a business development company.....	Chief Counsel	IM	8056	901/0504	x0659
N-54C, Notification of withdrawal of election to be a business development company.....	Chief Counsel	IM	8056	901/0504	x0659
N-SAR, Semi annual report of registered investment companies....	Carolyn Miller	IM	7021	901/0506	x0512
S-1, Registration statement for securities of all issuers for which no other form is authorized or prescribed.....	Chief Counsel	CF	4105	JP/0402	x2900
S-2, Registration statement for shares of certain issuers with special incorporation by reference & delivery requirements.....	Chief Counsel	CF	4105	JP/0402	x2900
S-3, Registration statement for securities of certain issuers offered pursuant to certain types of transactions.....	Chief Counsel	CF	4105	JP/0402	x2900
S-4, Registration of securities issued in business combination transactions.....	Chief Counsel	CF	4105	JP/0402	x2900
S-8, Registration statement for securities to be offered to employees pursuant to certain plans.....	Chief Counsel	CF	4105	JP/0402	x2900

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U-12(I)-A, Statement of a person employed or retained by a registered holding company or subsidiary thereof.....	David E. Marsh	IM	9027	901/0503	x0558
U-12(I)-B, Annual statement by person regularly employed or retained by a registered holding company or subsidiary and whose employment contemplates only routine expenses.....	David E. Marsh	IM	9027	901/0503	x0558
U-13-1, Application for approval of mutual service company.....	Robert P. Wason	IM	9002	901/0503	x0545
U-13-60, Annual reports by mutual and service companies.....	David E. Marsh	IM	9027	901/0503	x0558
U-13E-1, Report by affiliate companies and independent service companies.....	Robert P. Wason	IM	9002	901/0503	x0545
U-A, For amendments to applications, declarations, reports and statements.....	Robert P. Wason	IM	9002	901/0503	x0545
U-R-1, For solicitations in connection with reorganization.....	Robert P. Wason	IM	9002	901/0503	x0545
X-17A-5 (FOCUS REPORT), Financial information required of certain members, brokers, and dealers.....	Thomas McGowan	MR	10114	JP/1001	x0177
X-17A-19, Report by national securities exchanges and registered national securities associations of changes in membership status of any of their members.....	Thomas McGowan	MR	10114	JP/1001	x0177
X-17F-1A, Report for missing, lost, stolen or counterfeit securities.....	Thomas Etter, Jr.	MR	10006	JP/1001	x0178
X-15AA-1, For application for registration as a national securities association or affiliates securities association.....	Katherine A. England Deborah Flynn	MR MR	10507 10510	JP/1001 JP/1001	x0154 x0188
X-15AJ-1, For amendatory and/or supplementary statements to registration statement of a national securities association or an affiliated securities association.....	Katherine A. England Deborah Flynn	MR MR	10507 10510	JP/1001 JP/1001	x0154 x0188
X-15AJ-2, For annual consolidated supplement of national securities association or an affiliated securities association.....	Katherine A. England Deborah Flynn	MR MR	10507 10510	JP/1001 JP/1001	x0154 x0188
FRAUD, WASTE OR ABUSE, INTERNAL..	Walter Stachnik	OIG	10310	901/1107	x4460
FREE CREDIT BALANCES(Rule 15c3-2).	Thomas McGowan	MR	10114	JP/1001	x0177

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HEALTH UNITS, Field Offices, Continued...					
	New York.....				(212) 264-9177
	Philadelphia.....				(215) 861-3366
	Salt Lake City.....				(801) 524-5239
	San Francisco.....				(415) 436-7910
HELP DESK (Computers).....		OIT	2305	JP/0210	x4357
		OIT	6029	901/	824-5183
HISPANIC EMPLOYMENT.....	Fran Paver	EEO	10124	901/0212	x0043
HOST PAID CONFERENCES/MEETINGS....		OED	11000	JP/1101	x4300
HOT LINE					
Data Center.....	Judiciary Plaza	OIT	1C80	JP/0210	x4876
	Operations Center	OIT	1500	OPC/0-5	x8879
Help Desk/Customer Care Ctr.....		OIT	2305	OPC/0210	x4357
Telephone (Repair and Service)....	Larry Neltner	OIT	1123	OPC/0-4	x8889
Fax (Repairs and Service).....	Michele Martin	OAS	2C21	JP/C-8	x4010
	Annette Hebb	OAS	2C00	JP/0008	x4016
HYPOTHECATIONS.....	Thomas McGowan	MR	10114	JP/1001	x0132
IDENTIFICATION CARDS:					
Judiciary Plaza/901.....	Facilities Branch	OAS	2C12	JP/0008	x4010
(10-10:30 & 3-3:30)					
Operations Center/Annex.....	Shirley Chestnut	OAS	1604	OPC/0-12	x4942
INDUSTRY GROUPS					
Corporation Finance Assignments:					
Computers & Online Services.....	Barbara Jacobs	CF	4313	JP/0406	x1800
Consumer Products.....	Christopher Owings	CF	3408	JP/0308	x1900
Electronics & Machinery.....	Peggy Fisher	CF	3212	JP/0306	x1880
Financial Services.....	Todd Schiffman	CF	4409	JP/0408	x1760
Health Care & Insurance.....	Jeffrey P. Riedler	CF	3412	JP/0309	x1840
Manufacturing & Construction...	Pamela Long	CF	4214	JP/0404	x1950
Natural Resources & Food.....	H. Roger Schwall	CF	4216	JP/0405	x1870
Real Estate & Business Svcs....	Karen Garnett	CF	4503	JP/0409	x1960
Emerging Growth Companies.....	John Reynolds	CF	3113	JP/0304	x2999
Telecommunications.....	Vacant	CF	4317	JP/0407	x1990
Structured Finance,					
Transportation & Leisure....	Max Webb	CF	3202	JP/0305	x1850
INDUSTRY GUIDES.....	Chief Counsel	CF	4105	JP/0402	x2900
Copies of - Staff.....	Publications	OAS	3C45	JP/0011	x4040
- Public.....	Publications	OAS	3C45	JP/0011	x4046
INFORMATION, Recorded Messages (for touch tone telephone callers)					
Employee Locator.....					1
Filings and Registrations.....					2
Edgar Filing Support/FAX On-Demand Service.....					3
General Information.....					4
Press/Reporters.....					5
Publications.....					6
Operator.....					0
INFORMATION TECHNOLOGY					
Applications and Data.....	Lewis W. Walker	OIT	2101	OPC/0-4	x8811
Customer Support.....	Stephanie P. Crenshaw	OIT	1105	OPC/0-4	x7789
Data Center Operations.....	Donna L. Duffrin	OIT	1102	OPC/0-4	x8845
EDGAR Management.....	Richard D. Heroux	OIT	2108	OPC/0-4	x8885
Help Desk/Customer Care.....		OIT	2305	JP/0210	x4357
		OIT	6029	901/	824-5183
Internet Operations.....	Vacant	OIT		OPC/0-4	x8800

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PROGRAM SECTION		ORG.	ROOM	BLDG/	TELEPHONE
PROGRAM	NAME	CODE	NO.	ZIP+4**	NUMBER***
INVESTMENT ADVISERS					
Advertising.....	Chief Counsel	IM	8056	901/0504	x0659
Application for Registration...	Publications	OAS	3C45	JP/0011	x4040
Complaints.....		OIEA		901/0213	x7040
Financial Reporting/Inspectns...	Louis P. Becka	OCIE	3062	901/0901	x7437
Foreign.....	Chief Counsel	IM	8056	901/0504	x0659
Interpretive Matters.....	Chief Counsel	IM	8056	901/0504	x0659
Recordkeeping.....	Louis P. Becka	OCIE	3062	901/0901	x7437
Registration/Withdrawal Info...	Registrations/Exams	OFIS	2600	OPC/0-25	x7820
INVESTMENT BANKS Industry Group..	Todd Shiffman	CF	4409	JP/0408	x1760
INVESTMENT COMPANIES, ACCTG.....					
Application for Registration...	Chief Accountant	IM	9035	901/0505	x0590
Complaints.....	Publications	OAS	3C45	JP/0011	x4040
Compliance & Inspections.....	Louis P. Becka	OIEA		901/0213	x7040
Disclosure.....	Frank J. Donaty	OCIE	3062	901/0901	x7437
	Michael A. Lainoff	IM	9073	901/0505	x0585
		IM	9050	901/0505	x0589
Exemptions.....	Nadya B. Roytblat	IM	8003	901/0504	x0564
Insurance Co. Separate Accts...	Insurance Products	IM	7049	901/0506	x0670
Interpretive Matters.....	Chief Counsel	IM	8056	901/0504	x0659
INVESTOR INFORMATION SERVICES (recording)					1-800-SEC-0330
INVESTOR INQUIRIES/COMPLAINTS....		OIEA		901/0213	x7040
ISSUER REPURCHASES (Rule 10b-18)...	James Brigagliano	MR	10009	JP/1001	x0772
ISSUER TENDER OFFERS (Rule 13e-4).	James Brigagliano	MR	10009	JP/1001	x0772
	Mergers/Acquisitns	CF	3002	JP/0303	x2920
JOB SHARING.....	Carol Hallowell	OHR	2400	OPC/0-1	x7794
JUNK BONDS, Complaints.....	Investor Ed/Asst.	OIEA	2424	901/0213	x7040
KASTLE KEY SYSTEM.....	Phyllis Somers	OAS	1022	901/0008	x0121
LABOR RELATIONS.....	(See Office of Human Resources)				
LEASING Industry Group.....	Pamela Long	CF	4214	JP/0404	x1950
LEGISLATION.....		OGC	6415	JP/0606	x0870
	Peter Kiernan	ES	6100	JP/0602	x0015
LEISURE Industry Group.....	Max Webb	CF	3202	JP/0305	x1850
LEVERAGE BUYOUTS (LBOs).....	Jonathan Sokobin	OEA	6040	901/1105	x7198
LEXIS.....	Library	OS	1C00	JP/0002	x7090
LIBRARY.....		OS	1C00	JP/0002	x7090
LIMITED PARTNERSHIPS					
Real Estate.....	Karen Garnett	CF	4503	JP/0409	x1960
Reg D.....	Small Bus. Policy	CF	3501	JP/0310	x2950
LOST AND STOLEN PROPERTY					
Judiciary Plaza.....	Gail Sneed	OAS	2C05	JP/0008	x4010
901 E Street.....	Phyllis Somers	OAS	1022	901/0008	x0121
Operations Center/Annex.....	Shirley Chestnut	OAS	1604	OPC/0-12	x4942
LOST AND STOLEN SECURITIES.....	Thomas Etter, Jr.	MR	10006	JP/1001	x0178

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**PROGRAM SECTION**

<u>PROGRAM</u>	<u>NAME</u>	<u>ORG. CODE</u>	<u>ROOM NO.</u>	<u>BLDG/ ZIP+4**</u>	<u>TELEPHONE NUMBER***</u>
MUNICIPAL BONDS.....	Bill Dale	OEA	6054	901/1105	x8037
	Van Anthony	OEA	6016	901/1105	x8029
MUNICIPAL SECURITIES.....	Chief Counsel	MR	10305	JP/1001	x0073
	Martha Haines	MR	10112	JP/1001	x7315
Investment Companies.....	Chief Counsel	IM	8056	901/0504	x0659
MUNICIPAL SECURITIES DEALERS					
Files.....	Records Management	OFIS	1503	OPC/0-26	x7850
Registration.....	Regist & Exams	OFIS	2600	OPC/0-25	x7820
MUNICIPAL SECURITIES					
Rulemaking Board.....	Martha Haines	MR	10112	JP/1001	x7315
MUTUAL FUNDS.....	Chief Counsel	IM	8056	901/0504	x0659
	Van Anthony	OEA	6016	901/1105	x8029
	Lori Walsh	OEA	6014	901/1105	x7204
	Harvey Westbrook	OEA	6004	901/1105	x8047
NASD AND NASDAQ REGULATION.....	Deborah Flynn	MR	10510	JP/1001	x0188
NASD SURVEILLANCE & INSPECTION...	John McCarthy	OCIE	2043	901/0903	824-5420
NAT'L CLEARANCE/SETTLEMENT SYS...	Jerry Carpenter	MR	10005	JP/1001	x0162
NATIONAL MARKET SYSTEM.....	Katherine England	MR	10507	JP/1001	x0154
NATIONAL SECURITIES ASSNS.....	Deborah Flynn	MR	10510	JP/1001	x0188
NATURAL RESOURCES INDUSTRY GROUP.	Roger Schwall	CF	4216	JP/0405	x1870
NET CAPITAL (Rule 15c3-1).....	Thomas McGowan	MR	10114	JP/1001	x0177
Economic Analysis & Monitoring.	Vance Anthony	OEA	6016	901/1105	x8029
NEWS CLIPS.....	Mary Neal	OPA	2500	JP/0211	x0020
NEWS DIGEST.....	Carlene Akins	OPA	2506	JP/0211	x0020
NO ACTION LETTER					
Broker-Dealer Registration.....	Chief Counsel	MR	10305	JP/1001	x0073
Corporation Finance.....	Chief Counsel	CF	4105	P/0702	x2900
Investment Advisers.....	Chief Counsel	IM	8056	901/0504	x0659
Investment Companies.....	Chief Counsel	IM	8056	901/0504	x0659
Public Utility Holding Co.....	M. Cathey Baker	IM	9007	901/0503	x0545
NOTARY PUBLIC.....	Cynthia McGrigg	OGC	6110	JP/0606	x0908
(call for appointment)	Cheryl J. Randolph	ENF	8226	JP/0801	x4838
NURSE					
Judiciary Plaza.....	Safieh Rossi, BSN/MSN	FOH	7100	JP/0704	x4120
901 E St. ....	Vivian Pane, BSN	FOH	1008	901/0200	x8680
Operations Center and Annex....	Sharon Mahler, BSN	FOH	2700	OPC/0-11	x4973
Annex (OPC nurse).....	Sharon Mahler, BSN	FOH	2700	OPC/0-11	x4973
NYSE INSPECTION.....	Helene McGee	OCIE	2066	901/0903	x7430
	Eric Swanson	OCIE	2044	901/0903	824-5420

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PROGRAM SECTION		ORG.	ROOM	BLDG/	TELEPHONE
PROGRAM	NAME	CODE	NO.	ZIP+4**	NUMBER***
<u>Employee and Labor Relations Branch, Continued...</u>					
Leave Issues.....	Jay Flanagan	OHR	2911	OPC/0-22	x7976
Performance Management/Awards	Sandra Herring	OHR	2917	OPC/0-22	x7932
<u>Employee Development Branch</u>					
Branch Chief.....	Carole Schloss	OHR	2905	OPC/0-21	x4937
Training Officer.....	Chris Perry	OHR	2907	OPC/0-21	x4094
Registrar.....	Amie Kuhn	OHR	2905	OPC/0-21	x8666
Human Resources Specialist.....	Rita Gregorits	OHR	2923	OPC/0-21	x4985
	Lucinda Nobles	OHR	2904	OPC/0-21	x7978
Assistant.....	Lamica Reed	OHR	2903	OPC/0-21	x4986
OCCUPANT EMERGENCY PROGRAM	(See Security Branch)				
OFFICIAL LIST OF 13F SECURITIES..	Lelia Holder	IM	8024	901/0504	x0658
Distribution.....	Publications	OAS	3C38	JP/0011	x4040
OFFICIAL SUMMARY, Copies of.....	Publications	OAS	3C40	JP/0011	x4040
OMEGA TRAVEL.....	Lobby		1110		x0359
<u>OPERATIONS CENTER</u>					
Security Guards.....	Main Entrance				x8642
	North Entrance				x8860
Nurse.....	Sharon Mahler, BSN	FOH	2700	OPC/0-11	x4973
Facilities Management.....	Harry Fleming	OAS	1428	OPC/0-12	x4008
Supply Room.....	Harry Fleming	OAS	1428	OPC/0-12	x4008
Mail Room.....	Harry Fleming	OAS	1428	OPC/0-12	x4008
Fax Machines.....	(See Fax Machines Listing)				
OPINIONS OF THE COMMISSION.....	Anne E. Chafer	OGC	6144	JP/0606	x0950
<u>OPTIONS</u>					
Clearance & Settlement.....	Jerry Carpenter	MR	10005	JP/1001	x0162
Enforcement.....	Joseph Cella	ENF	8411	JP/0804	x4573
Inspections & Surveillance.....	Alton A. Harvey	MR	10306	JP/1001	x4168
Regulation.....	Deborah Flynn	MR	10510	JP/1001	x0188
Statistics.....		OEA		901/1105	x8020
Trading Practices Rules.....	James Brigagliano	MR	10009	JP/1001	x0772
OTC MKT MAKERS/BLOCK POSITIONERS					
(Rules 17a-12 & 17a-17).....	Katherine England	MR	10507	JP/1001	x0154
OUTSIDE MEETINGS.....		OED	11000	JP/1101	x4300
OTC REGULATION.....	Deborah Flynn	MR	10510	JP/1001	x0188
<u>PACKAGE DELIVERIES AND SHIPMENTS</u>					
Outbound Shipping: FEDEX, UPS...	Mail Center	OAS	2C53	JP/0013	x4125
Inbound Shipments: FEDEX, UPS,					
DHL, AIRBORNE & USPS.....	Mail Center	OAS	2C53	JP/0013	x4133
Inbound Shipments: COURIER.....	Mail Room 1st Floor	OAS	1012B	JP/	x4194
PAPERWORK REDUCTION ACT.....	Shirley Martinson	OIT	2141	OPC/0-4	x4393
Legal Advice.....		OGC	6415	JP/0606	x0870
<u>PARKING FACILITIES</u>					
Judiciary Plaza.....	Michele Martin	OAS	2C07	JP/0008	x4010
REC Association Parking.....	Deborah Bowlding	MR	10203	JP/1001	x0185
901 E Street.....	Phyllis Somers	OAS	1000	901/0008	x0121
	Altman Parking			(202)	337-1005
Parking Lots in the Area.....	Michele Martin	OAS	2C07	JP/0008	x4010
Ridesharing/Locating Carpools..	Michele Martin	OAS	2C07	JP/0008	x4010

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PROGRAM SECTION		ORG.	ROOM	BLDG/	TELEPHONE
PROGRAM	NAME	CODE	NO.	ZIP+4**	NUMBER***
PROPERTY PASSES					
Judiciary Plaza.....	Gail Sneed	OAS	2C05	JP/0008	x4010
901 E Street.....	Phyllis Somers	OAS	1022	901/0008	x0121
Operations Center/Annex.....	Shirley Chestnut	OAS	1604	OPC/0-12	x4942
PROXY CONTESTS.....	Mergers & Acquistns	CF	3002	JP/0303	x2920
PROXY RULES.....	Chief Counsel	CF	4105	JP/0402	x2900
	Chief Counsel	IM	8056	901/0504	x0659
PUBLIC TRANSPORTATION					
SUBSIDY PROGRAM.....	Stephen Johnston	OAS	2918	OPC/0-1	x4005
PUBLIC UTILITES Industry Group...	Chris Owings	CF	3408	JP/0308	x1900
PUBLIC UTILITY HOLDING COMPANIES.	M. Cathey Baker	IM	9007	901/0503	x0545
PUBLICATIONS					
Copies of Blank Forms, Releases, Directories, Speeches etc.....		OAS	3C45	JP/0011	x4040
PUBLISHING BRANCH.....	J. Scott Mackert	OAS	1C38	JP/0019	x4055
	Jackie Contee	OAS	1C38	JP/0019	x4055
PUBLISHING Industry Group.....	Karen Garnett	CF	4503	JP/0409	x1960
QUALIFICATION EXAMS - BDs.....	NASD				9-728-8800
REAL ESTATE Industry Group.....	Karen Garnett	CF	4503	JP/0409	x1960
REAL ESTATE INVESTMENT TRUSTS					
Accounting.....	Craig Olinger	CF	3512	JP/0410	x2860
Nonaccounting.....	Karen Garnett	CF	4503	JP/0409	x1960
REASSIGNMENT PROGRAMS.....	Nicole Woodard	OHR	1407	OPC/0-1	x7732
RECORDKEEPING REQUIREMENTS					
(Rules 17a-3; 17a-4).....	Thomas McGowan	MR	10114	JP/1001	x0177
	Bonnie Gauch	MR	10114	JP/1001	x0177
(Rules 17a-23) .....	Gordon Fuller	MR	10428	JP/1001	x0792
Investment Adviser.....	Louis P. Becka	OCIE	3062	901/0901	x7437
RECORDS OFFICER.....	Larry Mills	OFIS	1202	OPC/0-24	x7800
RECORDS DISPOSAL.....	Records Management	OFIS	1503	OPC/0-26	x7850
RECREATION & WELFARE ASSN.....					
President.....	Deborah Bowlding	MR	10203	JP/1001	x0185
Treasurer.....	Alfred P. Pavot	CF	3116	JP/0304	x1764
Activities Director.....	Deborah Bowlding	MR	10203	JP/1001	x0185
RECRUITMENT.....	Jill Kirson	OHR	1127	JP/0103	x7320
RE-ENTRY/CONTINUOUS APPLICATIONS	Chief Counsel	MR	10305	JP/1001	x0073
REGIONAL OFFICE ASSISTANCE					
Enforcement.....	Vacant	ENF	8115	JP/0809	x
Investment Management.....	Louis P. Becka	OCIE	3062	901/0901	x7437
Market Regulation.....	John McCarthy	OCIE	2043	901/0902	824-5420
REGIONAL OFFICE OPERATIONS.....	James Clarkson III	ENF	8204	JP/0801	x4580
REGISTRATION OF SECURITIES.....	Chief Counsel	CF	4105	JP/0402	x2900

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<u>PROGRAM</u>	<u>NAME</u>	<u>ORG. CODE</u>	<u>ROOM NO.</u>	<u>BLDG/ ZIP+4**</u>	<u>TELEPHONE NUMBER***</u>
SEC REGULATIONS (SECR).....		OAS	1407	OPC/0-1	x4080
SEC SPONSORED CONFERENCES.....		OED	11000	JP/1101	x4300
SEC VISITORS PROGRAM.....	Carol Patterson	OPA	2505	JP/0211	x0020
SECTION 12(h) Hearings.....	Chief Counsel	CF	4105	JP/0402	x2900
SECURITIES INVESTOR PROTECT. ACT	Thomas McGowan	MR	10114	JP/1001	x0177
SECURITIES INFO. PROCESSORS.....	Katherine England	MR	10507	JP/1001	x0154
SECURITIES TRANSACTIONS.....	Victor Tynes	OAS	2916	OPC/0-23	x7739
(EMPLOYEE REPORT)	Babita Bailey	OHR	2914	OPC/0-23	x7881
<b>SECURITY</b>					
Physical Security.....	Eric Eskew	OAS	1418	OPC/0-1	x4140
	Clyde Woods	OAS	1006	901/0008	x7742
Information Technology.....	Chrisan Herrod	OIT	2107	OPC/0-4	x7761
<u>Security Branch (Office of Administrative Services)</u>					
Branch Chief.....	Eric Eskew	OAS	1418	OPC/0-1	x4140
Security Specialist.....	Clyde Woods	OAS	1006	901/0008	x7742
Security Specialist.....	Stephen R. Johnson	OAS	2918	OPC/0-23	x4005
Security Specialist.....	Lynne Willhoit	OAS	1433	OPC/0-1	x7717
Security Specialist.....	Anthony Ward	OAS	2C12	JP/0008	x4139
Security Specialist.....	Mary Brawner	OAS	2C12	JP/0008	x4388
<b>SECURITY GUARDS - Headquarters</b>					
Judiciary Plaza.....	Lobby				x4107
901 E Street.....	Lobby				x8686
Operations Center.....	Main Entrance				x8642
	North Entrance				x8860
Operations Center Annex.....	Main Entrance				x7878
<b>SECURITY, BLDG. - Field Offices (See p.i in the Index of this telephone directory)</b>					
SECURITY OFFERINGS AND STUDIES...		OEA		901/1105	x8020
SENIOR OFFICERS PROGRAM.....	Gina Basile	OHR	1434	OPC/0-1	x4072
SERVICE BUREAU RECORDS(Rule 17a-4)	Thomas McGowan	MR	10114	JP/1001	x0177
SHAREHOLDER PROPOSALS.....	Chief Counsel	CF	4105	JP/0402	x1900
SHORT SALES - Rule 10a-1.....	James Brigagliano	MR	10009	JP/1001	x0775
SHORT TENDERS - Rule 10b-4.....	James Brigagliano	MR	10009	JP/1001	x0772
<b>SHUTTLE BUS SERVICE</b>					
Schedule.....	(See page 4-3 of this directory)				
901 E Street Pick-up.....					x4106
After Hours Service at					
Judiciary Plaza (6-8:45 pm)..	Car Phone				(202)494-3641
Problems.....	Vic Tynes	OAS	2916	OPC/0-23	x7739
<b>SIGN LANGUAGE INTERPRETER</b>					
REQUESTS.....	Rochelle Franks	OHR	2C42	JP/0015	x9558 TTY* x4158 voice
Interpreter.....	Gary Johnson	OHR	1120	JP/1-3	x4158 x9543* x2999
SMALL BUSINESS Industry Group....	John Reynolds	CF	3113	JP/0304	

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PROGRAM SECTION

PROGRAM	NAME	ORG. CODE	ROOM NO.	BLDG/ ZIP+4**	TELEPHONE NUMBER***
TDD/TTY INFORMATION					
Federal Relay Service Operator.....				1-800-877-8339	
Non-Federal Relay Operator.....				711	
Employee Access to TDD/TTYs..	Rochelle Franks	OHR	2C42	JP/0015	x9558 TTY* x4158 voice
Employment and Hiring.....	Classif./Staffing	OHR	1407	OPC/0-1	x4000
Equal Employment Opportunity.	Karen M. Smith	EEO	10103	901/0212	x0055
Sign Language Interpreter....	Gary Johnson	OHR	2C42	JP/0015	x4158 x9543*
TDD/TTY Instructions.....(See TDD instructions on page 4-6 of this directory.)					
TELEPHONE DIRECTORY.....	Lynne Willhoit	OAS	1433	OPC/0-1	x7717
Changes/Update.....	Administrative Contact in each Division/Office				
Copies.....	Publications	OAS	3C45	JP/0011	x8800
TELEPHONE SERVICE AND REPAIR.....	Telecom Group	OIT	1123	OPC/0-4	x8889
TELEWORK PROGRAM.....	Carol Hallowell	OHR	2400	OPC/0-1	x7794
TENDER OFFERS.....	Mergers/Acquisitns	CF	3002	JP/0303	x2920
THRIFT SAVINGS ACCOUNTS.....	Bertha Wade	OHR	1435	OPC/0-1	x4076
TICKER ROOM.....	Joseph Cella	ENF	8411	JP/0804	x4573
TOASTMASTERS CLUB (SEC CHARTER)					
FOR MEMBERSHIP CONTACT.....	Greg Scates	ENF	8324	JP/0802	x4779
	Brenda Fuller	OFIS	2310	OPC/0-5	x4333
TRADING (§ 11(a)).....	Chief Counsel	MR	10305	JP/1001	x0073
TRADING PRACTICE RULES.....	James Brigagliano	MR	10009	JP/1001	x0772
TRAINING, EMPLOYEE..... (See Office of Human Resources)					
TRANSCRIPTS OF PROCEEDINGS, FILES	Records Management	OFIS	1503	OPC/0-26	x7850
TRANSFER AGENTS.....	Tom Etter	MR	10006	JP/1001	x0178
Complaints.....	Investor Ed/Asst.	OIEA	2424	901/0213	x7040
Inspections & Filing.....	Eric Garvey	OCIE		901/0903	824-5420
TRANSPORTATION INDUSTRY GROUP....	Max Webb	CF	3202	JP/0305	x1850
TRANSPORTATION					
Public Transportation Subsidy..	Stephen Johnston	OAS	2918	OPC/0-1	x4005
Shuttle Bus Service.....	(See page 4-3 of this directory)				
Motor Pool.....	Gail Sneed	OAS	2C00	JP/0008	x4010
TRAVEL					
Advances.....	Sandra L. Anderson	OFM	2805	OPC/0-3	x0380
Arrangements.....	OMEGA Travel	OFM	1110		x0359
Travel Handbook.....	Bonnie L. Beard	OFM	2804	OPC/0-3	x0389
Vouchers.....	Voucher Examiners	OFM	2802	OPC/0-3	x0360
TRUST INDENTURES.....	Chief Counsel	CF	4105	JP/0401	x2900
TSP.....(See Office of Human Resources)					
TTY INFORMATION (See TDD/TTY)					

\* Access this TDD/TTY number by calling the Federal Relay Service Operator at 1-800-877-8339.  
 \*\* Building Codes: JP (Judiciary Plaza), 901 (901 E St.), OPC (Operations Ctr.), A (Annex)  
 \*\*\* Area Code is (202) unless otherwise indicated. The prefix is "(202)942-" for numbers listed with an "x" in front of them.





# TELEPHONE USER'S GUIDE \*

## RECEIVING A CALL

A single ring from your phone indicates a call from another SEC telephone.

A double ring from your phone indicates a call from outside the SEC building.

## CALLING SOMEONE OUTSIDE THE SEC BUILDING

Local: Dial 9 + 1 + Number

Credit Card: Dial 9 + 0 + Number

Toll Free: Dial 9 + 1 + 800 + Number

International (available as needed)

Dial 9 + 011 + Number.

Message Unit Charge Applied.

## Long Distance Commercial Information

Dial 9 + 1 + area code + 555-1212. The operator will connect you with the city information operator. After receiving the distant person's number, hang up and complete the call over the FTS. FTS Operators cannot provide commercial information.

## Long Distance Calls Within the U.S.

All long distance telephone calls made within the United States will be placed over the Federal Telecommunications System (FTS). The FTS is a government network of leased long-distance circuits interconnecting major cities. Official calls can be made through the FTS to any telephone subscriber in distant cities as well as to government agencies in those cities. Dial 9 + 1 + Area Code + number.

## Directory Assistance

Dial 9 + 411.

Message Unit Charge Applied.

Emergency: Dial 9 + 911

## TO TRANSFER A CALL TO ANOTHER EXTENSION

### Unscreened

With call on line, press TRANSFER. Call will go on hold. Dial 4-digit extension. Hang up.

### Screened

With call on line, press TRANSFER. Call will go on hold. Dial 4-digit extension. Wait for answer. Hang up.

If extension is busy or there is no answer, press FLASH to return to original call.

If call is refused, remain off hook until called party hangs up. You will be reconnected to the original call.

If call is transferred to voice mail and you do not want the caller to go to voice mail, press FLASH twice to return to original call.

## THREE PARTY CONFERENCE

### To Add An Inside Party To A Call

With the call on line, press FLASH. Call will go on hold. Dial 4-digit extension number. When party answers press FLASH. All three parties are on the same line.

### To Add An Outside Party To A Call

With call on line, press FLASH. Call will go on hold. Dial 9 then the outside number. When party answers press FLASH. All three parties are on the same line.

If the party you are trying to conference in, is busy or doesn't answer, push FLASH. If you misdial, press FLASH to return to the original caller. If you reach voice mail, press FLASH twice to return to the original caller.

## CALL HOLD

With call on line, press HOLD. Hang up.

### To Retrieve

Lift handset. Press the flashing line button.

## CALL PARK

With call on line, press PARK. Then dial your 4-digit extension number. Hang up.

the original caller.

### Retrieve (from same or different phone):

Lift hand set. Press PARK. Dial your 4-digit extension number. You are reconnected to the call. Note: A parked call recalls in 5 minutes.

## CALL PICK UP

### Group

If your phone is in a "pick-up" group, you can answer your co-worker's ringing phone by pressing the button labeled PICK-UP GROUP.

### Directed

To answer a ringing extension from another extension. Lift handset. Dial #38 plus the 4-digit extension number you wish to answer.

## CALL FORWARD ALL

Lift handset. Press FWDALL. Dial extension number where you want your calls to go. Hang up. The FWDALL lamp will light. All of your calls will forward immediately. You can still use your phone to make outgoing calls. Applies to prime line only

### To Cancel

Lift handset. Press FWDALL. Hang up. FWDALL lamp goes out.

\* The Telecommunications Policy, SECR 8-2, is available through the Publications Office.

# SEC Shuttle Schedule

## *Shuttle Departure Times Judiciary Plaza/901 E Street\* - Operations Center Route*

<u>Operations Center Main Entrance</u>	<u>Operations Center North Entrance</u>	<u>Annex**</u>	<u>Judiciary Plaza 6th Street Entrance</u>
8:15 a.m.	8:17 a.m.	8:20 a.m.	9:00 a.m.
9:00 a.m.	9:02 a.m.	9:05 a.m.	9:30 a.m.
9:30 a.m.	9:32 a.m.	9:35 a.m.	10:00 a.m.
10:00 a.m.	10:02 a.m.	10:05 a.m.	10:30 a.m.
10:30 a.m.	10:32 a.m.	10:35 a.m.	11:00 a.m.
11:00 a.m.	11:02 a.m.	11:05 a.m.	11:30 a.m.
11:30 a.m.	11:32 a.m.	11:35 a.m.	12:00 p.m.
12:00 p.m.	12:02 p.m.	12:05 p.m.	12:30 p.m.
12:30 p.m.	12:32 p.m.	12:35 p.m.	1:00 p.m.
1:00 p.m.	1:02 p.m.	1:05 p.m.	1:30 p.m.
1:30 p.m.	1:32 p.m.	1:35 p.m.	2:00 p.m.
2:00 p.m.	2:02 p.m.	2:05 p.m.	2:30 p.m.
2:30 p.m.	2:32 p.m.	2:35 p.m.	3:00 p.m.
3:00 p.m.	3:02 p.m.	3:05 p.m.	3:30 p.m.
3:30 p.m.	3:32 p.m.	3:35 p.m.	4:00 p.m.
4:00 p.m.	4:02 p.m.	4:05 p.m.	4:30 p.m.
4:30 p.m.	4:32 p.m.	4:35 p.m.	5:00 p.m.

(Passengers departing from Judiciary Plaza at 5:00 p.m. will be dropped off before 5:30 p.m.)

*\*Shuttle Stops at 901 E Street Building.* Passengers who want to be **picked up** from the 901 E Street building to be taken to the Operations Center must call the security guards at x4106 to request a pick-up. Passengers departing the Operations Center who want to be **dropped off** at the 901 E Street building must inform the shuttle driver when boarding the shuttle.

*\*\*Shuttle Stops at the Annex.* Passengers who want to be **picked up** from the Annex must call the Operations Center security guards at x8642. Passengers who want to be **dropped off** at the Annex must inform the shuttle driver when boarding the shuttle.

Please contact Victor Tynes at x7739 regarding questions about shuttle service.

*Continued on next page...*

## TDD/TTY INSTRUCTIONS

1. Plug in the TDD/TTY, dial the telephone number, and place the telephone headset in the coupler-cradle with the telephone cord to the left or as indicated at the base.
2. When the call is answered, please type "HI, THIS IS (your name) GA or HI, (your name) ON GA". Give your name in some sort of greeting at the answer of a TDD/TTY call. Whether you work in a department or an organization, type "HI, THIS IS THE SECURITIES AND EXCHANGE COMMISSION (your name), or MAY I HELP U?" This will give the caller a feeling of friendliness of the department or organization. This will be less impersonal.
3. Please use abbreviations on the TDD/TTY. They are as follows:

<i>PLS.....please</i>	<i>N.....and</i>	<i>HD.....hold</i>
<i>U.....you</i>	<i>NBR.....number</i>	<i>INFO.....information</i>
<i>UR.....your</i>	<i>LTR.....letter</i>	<i>GA.....go ahead</i>
<i>CN.....can</i>	<i>CUL.....see you later</i>	<i>SK.....goodbye</i>
<i>RD.....read</i>		
4. During conversations, be precise with time, place and directions, if any. Check for the number and letter shift keys. Ask the caller to repeat the given information to double check. It will eliminate misunderstandings and frustrations. Have a paper and pen at hand.
5. It is best to reduce the length of conversation to detailed information.
6. To say goodbye, please type SKSK twice (2) after the other person types GA OR SK and then your type SKSK. The other person will type SKSK. Do not type one SK or many SKSKSKSKSKS. It is considered rude. It indicates your anger or frustration on TDD/TTY. It is polite to acknowledge the person's SKSK.

### **How to Call a Deaf or Hard-of-Hearing Individual Through The Federal Relay Service**

Many individuals who are Deaf or Hard-of-Hearing use a special telecommunications device known as a TTY (or sometimes called a TDD) to make calls using the telephone.

The Federal Relay Service enables Federal employees, using a normal telephone, to communicate with persons who use a TTY. To call a TTY user, simply call the Federal Relay Service at **1-800-877-8339** and give the operator the phone number of the person you wish to call.

The operator will place the call and will facilitate your conversation (which will be kept strictly confidential per Federal law). During the call, please speak normally and directly to the individual you are calling, because the operator will type exactly what you say to the TTY user and then will read back to you exactly what the TTY user types in response.

**More detailed information about the service, including relay call protocol, is available on the web at [www.fts.gsa.gov/frs](http://www.fts.gsa.gov/frs).**

**Note:** The nationwide non-Federal TTY relay service can be reached from any phone by simply dialing 711.

**OCCUPANT EMERGENCY  
PROGRAM**

Security and Exchange Commission's  
**Occupant Emergency Program**  
**Employee Manual**

<b>Table of Contents</b>	<b>Page</b>
Assembly Areas	5-11
Bomb Threat Guide	v
Emergency Numbers	i
Emergency Response Team (E-Team) Responsibilities	5-4
Employee Responsibilities	5-3
Employees With Special Needs	5-9
Evacuation Procedures	5-6
Holding Areas	5-12
Introduction to the Occupant Emergency Program	5-2
Shelter-In-Place Procedures	5-7
What to Do In an Emergency	5-5

**Definitions of Key Terms**

<b>Term</b>	<b>Definition</b>
<b>Assembly Area</b>	A designated outside area which building occupants must go to after evacuating the building.
<b>Building Occupants</b>	All SEC employees, contractors, visitors, and other people in the building.
<b>Command Center</b>	A central location from which emergency operations are conducted.
<b>E-Team</b>	Short for Emergency Response Team. The E-Team is made up of employees who volunteer their time and effort to carry out the Occupant Emergency Program.
<b>Holding Area</b>	An area in the building that serves as a temporary waiting area for building occupants who cannot get out of the building during an emergency.
<b>Occupant Emergency Program (OEP)</b>	The SEC's program for responding to various types of emergencies.
<b>Shelter-In-Place</b>	The process of staying where you are and taking shelter rather than trying to evacuate.
<b>Stair Evacuation Chair</b>	A portable chair designed for evacuating those who cannot walk down stairs.

*If you have questions or suggestions regarding the Occupant Emergency Program, please send an e-mail to Emergency Program (OEP).*

## Employee Responsibilities

### Prior to an Emergency

Responsibility	
1	Read this manual thoroughly and become familiar with emergency procedures.
2	Remember that activation of an alarm and strobe lights means to EVACUATE the building. An announcement over the PA system, bullhorn or by word-of-mouth will signal you to "SHELTER-IN-PLACE."
3	Identify at least two different escape routes from your work area (excluding elevators) and know where your Assembly Area is outside of the building.
4	Know who the E-Team members are for your floor or area. E-Team members are listed under "Emergency Info" on the INSIDER intranet website.
5	Know the locations of alarm pulls and fire extinguishers near your work area.
6	Know the location of the Holding Area for your floor, particularly if you will need assistance to get out of the building. Send an e-mail to Emergency Program (OEP) if you will need assistance to evacuate the building during an emergency - even if it's on a temporary basis (such as a broken leg, surgery, etc.)
7	If you have a temporary (broken leg, recent surgery, etc.) or permanent condition that would prevent you from hearing emergency messages broadcast on the public address (PA) system or from using stairs EASILY during an emergency, you need a Buddy. For more information see <i>Employees Needing Assistance</i> .

**Extra Steps** While concerns about terrorism remain strong, the SEC encourages you to take these additional steps.

1	Put together your own emergency supply kit and store it in your office or at your desk (see <a href="http://www.redcross.org">www.redcross.org</a> for an example of items to keep on hand). The kit should include bottled water, non-perishable food, toiletries, at least a two-day supply of any medicine you take on a regular basis, sturdy walking shoes, and a change of clothing. Remember to replace the water and food on a regular basis.
2	Establish and review alternate transportation and communication plans with family members. This should include plans for a situation in which you cannot get home in 24 hours.
3	Keep the threat of terrorism in perspective. If you feel the need to talk to someone about your fears of terrorism, Employee Assistance Program (EAP) counselors are available 24 hours a day every day. Please call 1-800-222-0364 or 1-888-262-7848 TTY.

*Continued on next page...*

## What To Do In An Emergency

<b>Fire</b>	<ul style="list-style-type: none"> <li>• If you detect a fire, activate the alarm by pulling the nearest alarm pull station.</li> <li>• Call the security guards to report the location, type and size of the fire.</li> <li>• TEST doorknobs for hotness before opening door. If hot, take an alternate exit route.</li> <li>• If there's smoke, stay low to the floor. Cover your mouth and nose with a piece of clothing to help you breathe.</li> <li>• CLOSE all doors behind you (but DO NOT LOCK them).</li> <li>• Exit the building and go to your Assembly Area.</li> </ul>
<b>Bomb Threat</b>	<ul style="list-style-type: none"> <li>• If YOU receive the threat, take down as much information as possible about the caller using the Bomb Threat Guide in the Index of this telephone directory. Then call building security with details of the call.</li> <li>• Leave everything as it is! DO NOT change any light or electrical equipment settings.</li> <li>• DO NOT use cell phones, pagers, walkie-talkies or other such devices.</li> <li>• Exit the building and go to your outside Assembly Area.</li> </ul>
<b>Medical</b>	<ul style="list-style-type: none"> <li>• Contact building security and report: the type of emergency, the location of the victim, to call 911 or health unit (whichever seems relevant), and whether the victim needs CPR assistance (the SEC security guards are all trained in CPR).</li> <li>• You also may contact the health unit or call 911 first. In these cases, call building security next so they will know where to send medical personnel.</li> <li>• If CPR is needed, you also may contact a CPR-certified employee to assist (see "Emergency Info" on the INSIDER).</li> </ul>
<b>Shelter-In-Place</b>	<ul style="list-style-type: none"> <li>• Follow instructions given over the PA system or by other means of communication.</li> <li>• Close the door to your office.</li> <li>• In general, move to the interior of the building. Stay away from offices on the perimeter of the building and close doors to those rooms.</li> </ul>
<b>Workplace Violence</b>	<ul style="list-style-type: none"> <li>• If violence is imminent, contact building security immediately and alert coworkers and supervisor to the threat.</li> <li>• If you have knowledge of the potential for workplace violence (can be from a coworker, their spouse, a contractor, etc.), notify your supervisor and/or the Employee Relations Office at (202) 942-7770 to report your concerns.</li> </ul>
<b>Suspicious Package</b>	<ul style="list-style-type: none"> <li>• If you find a suspicious letter or package, do not move it. Call building security immediately.</li> <li>• Keep people away from the package.</li> <li>• If you or anyone else comes in contact with an unknown substance, go to the Health Unit or hospital.</li> </ul>
<b>Hazardous Material Spill/Leak</b>	<ul style="list-style-type: none"> <li>• Call building security immediately.</li> <li>• Leave everything as it is. DO NOT try to clean it up.</li> <li>• Keep people away from the spill or leak.</li> </ul>
<b>Impending Severe Weather</b>	<ul style="list-style-type: none"> <li>• Follow instructions given to you by the E-Team or building management over the PA system or other means of communication.</li> <li>• Close the door to your office.</li> <li>• In general, stay away from offices on the perimeter of the building and close doors to those rooms.</li> </ul>

*Continued on next page...*

## Shelter-In-Place Procedures

<p><b>When will we Shelter-In-Place?</b></p>	<p>The SEC may Shelter-In-Place under a variety of emergency scenarios, including:</p> <ul style="list-style-type: none"> <li>• Police activity/crime emergency in the immediate vicinity</li> <li>• Sudden severe weather (i.e.: tornado)</li> <li>• Chemical, biological or radiological attack</li> </ul> <p>If we need to Shelter-in-Place, an announcement will be made over the public address (PA) system, bullhorn or other means of communication. An alarm will not sound. An alarm sounding and activation of the strobe lights will <i>always</i> indicate a building evacuation.</p>
<p><b>Where will we Shelter-In-Place?</b></p>	<p>The standard Shelter-In-Place location for all employees is the inner core of your building. These locations were chosen because they are away from exposed windows that could cause injury in the event of an explosion or severe weather. The E-Team for your floor will direct you to your Shelter-In-Place location. If we must Shelter-In-Place for an extended period of time, limited supplies of water, food, and emergency blankets that will be made available.</p> <p><i>Compressed Shelter-In-Place Locations:</i> In some rare situations, it may be necessary for employees on lower floors, and in some cases higher floors, to relocate to the middle floors of the building. In a so-called “Compressed Shelter-In-Place,” employees will be directed to alternate floors by PA announcements or E-Team members.</p>
<p><b>Employees with Disabilities</b></p>	<p>During a Shelter-In-Place situation, employees needing assistance to evacuate the building that would normally go to a Holding Area in a building evacuation should go to the area NEAR their normal Holding Area. In some scenarios we may Shelter-In-Place first and then go to a building evacuation. In these instances, having people positioned near their Holding Areas will be helpful for both them and for the E-Team when evacuation is required.</p> <p>If you have a temporary or permanent disability, please read the information in this manual under “Employees Needing Assistance”.</p>
<p><b>What if I’m outside the building?</b></p>	<p>Circumstances will dictate whether we will be permitted to allow staff to enter the building after the execution of a Shelter-In-Place. In the event of a chemical, biological, or radiological attack, local law enforcement will decide whether anyone will be permitted to enter the building, since someone who may have been exposed to an agent outside the building may contaminate those inside. If staff is prohibited from entering the building, emergency personnel may direct these individuals to a decontamination site, to a holding site, or simply to leave the area.</p>

*Continued on next page...*



## Employees Needing Assistance During an Emergency

<p><b>How Do I Determine If I Need Assistance?</b></p>	<p><b>Notification of an emergency:</b> If you have a disability making it difficult for you to hear the alarm or the public address system, or to read signs, text announcements or e-mail messages, you should contact the Emergency Program (OEP) mailbox with any requests for accommodations or special equipment, such as installation of speakers, strobe lights, or other special equipment to help you become aware of an emergency or announcements pertaining to it or to alert others to your need for assistance. Employees in Field Offices should contact their Administrative Contact.</p> <p><b>Evacuation:</b> If you have a temporary or permanent condition that prevents you from using the stairs <i>easily</i> by yourself, you should have a Buddy. A Buddy is another employee who will assist you to get out of the building during an emergency.</p>
<p><b>What Steps Do I Take Next?</b></p>	
<p><b>Ask For Assistance</b></p>	<ol style="list-style-type: none"> <li>1. To obtain a buddy, you can ask nearby coworkers to assist you in an emergency, or ask your administrative contact or e-mail Emergency Program (OEP) to ask for help in finding a Buddy and a back-up Buddy. All information will be kept confidential. The E-Team also will act as "back-up buddies" in case your buddies are not available in an emergency.</li> <li>2. Always notify the Emergency Program (OEP) mailbox of the names of your buddies including any change of buddies in the future. Employees in Field Offices should contact the Emergency Coordinator for your office.</li> </ol>
<p><b>Establish An Individual Emergency Evacuation Plan</b></p>	<ol style="list-style-type: none"> <li>1. You and your buddies should meet with your area monitor and floor monitor to determine the best evacuation route and go over shelter-in-place procedures. Preferably, it should be the same route/procedures that others in your area would take. Visit the outside Assembly Area for your building.</li> <li>2. You and your buddies should visit the closest Holding Area to your workstation. Notify your area monitor, floor monitor, and Emergency Program (OEP) mailbox of the Holding Area you would use in an emergency. Know the locations of other Holding Areas in the building. Employees needing assistance should discuss with their buddies how long they would wait together in an emergency and plan for various contingencies. Once the buddy has taken the employee to the Holding Area, the buddy is not obligated to remain with the employee if the employee elects not to go down the stairs.</li> </ol>

*Continued on next page...*

## Employees Needing Assistance During An Emergency, Continued

<b>Emergency Telephones</b>	<p><u>Washington, D.C.:</u> Located in all Holding Areas in all buildings. Please follow the telephone instructions posted near them.</p> <p><u>Field Offices:</u> Check with your Emergency Coordinator.</p>
<b>Walkie-Talkies</b>	<p><u>Washington, D.C.:</u> The floor monitor for each floor has a walkie-talkie that is connected directly to the Command Center Team, which oversees emergency responses. Floor monitors are located at these specific locations:</p> <p><b>Judiciary Plaza building</b> - at the north bank of elevators.</p> <p><b>901 building</b> - at the elevators.</p> <p><b>Operations Center - 1<sup>st</sup> Floor</b> near Door B (NW corner of building) and in the central, interior corridor near the employee lounge. <b>2<sup>nd</sup> Floor</b> at either end of the central, interior hallway. (See maps at <a href="http://intranet.sec.gov/emerplan/members.htm">http://intranet.sec.gov/emerplan/members.htm</a>)</p> <p><b>Annex</b> - at the main entrance to the building.</p> <p><u>Field Offices:</u> Check with your Emergency Coordinator for locations.</p>

### Assembly Area

<b>Description</b>	A designated outside area to which building occupants must go during a building evacuation.
<b>Purpose</b>	Provides a safe area for building occupants to congregate outside of the building. Keeps people together, which allows E-Team members to account for building occupants and to communicate instructions to them.
<b>Who Should Go There?</b>	Employees and contractors are required to go to an Assembly Area during a building evacuation. Building occupants should be careful when crossing streets.
<b>Locations</b>	<p><b>Judiciary Plaza</b> - Grassy area on the 5<sup>th</sup> Street side of the building.</p> <p><b>901 E Street</b> - Northwest corner of 9<sup>th</sup> and E Streets, NW in front of the Martin Luther King Library.</p> <p><b>Operations Center</b> - On top of the parking deck.</p> <p><b>Annex</b> - Directly across the parking lot from the main entrance to the building (near the dumpster).</p> <p><b>Field Offices</b> - Check with your Emergency Coordinator.</p>





## CORRECTIONS TO THE SEC TELEPHONE DIRECTORY

**NOTE:** The telephone directory is updated regularly on the INSIDER. The changes below have been included in the on-line directory on the INSIDER. To access the directory from the INSIDER, click on "Administrative Tools," then on "Telephone Directory."

### 1) DIVISION OF ENFORCEMENT

p. 2-6 **ADD** (under STEPHEN M. CUTLER AND SHEILA A. RUSSELL)

SENIOR ADVISOR.....VACANT.....  
SUPERVISORY PROGRAM ANALYST.....CHARLES C. STAIGER.....7431 0801 942-4802  
ADMINISTRATIVE CONTACT.....HILDA LUCAS.....8227 0801 942-4696

p. 2-7 **DELETE** (under OFFICE OF ASSISTANT DIRECTOR NO. 10)

DEPUTY ASSISTANT DIRECTOR.....CHARLES H. WIGGINS.....8410 0803 942-4850

p. 2-8 **DELETE** (under OFFICE OF CHIEF COUNSEL)

ASSISTANT CHIEF COUNSEL.....KENNETH R. LENCH.....8320 0809 942-4755

p. 2-8 **REPLACE** (under OFFICE OF CHIEF LITIGATION COUNSEL)

DEPUTY CHIEF LITIGATION COUNSEL.....PETER H. BRESNAN.....9302 0911 942-4788

**WITH**

DEPUTY CHIEF LITIGATION COUNSEL.....MARK A. ADLER.....9302 0911 942-4770

### 2) OFFICE OF FINANCIAL MANAGEMENT

p. 2-16 **REPLACE** entire listing with:

ASSOCIATE EXECUTIVE DIRECTOR.....MARGARET J. CARPENTER.....2814 0-3 942-0341  
ASST. DIRECTOR, BUDGET/PLANNING.....DIANE E. GALVIN.....2813 0-3 942-0351  
ASST. DIRECTOR, FINANCE/ACCOUNTING.....DARRELL L. DOCKERY.....2803 0-3 942-0349  
CHIEF, BUDGET BRANCH.....GREGORY TRYGG.....2812 0-3 942-0357  
CHIEF, FINANCIAL OPERATIONS BRANCH.....BONNIE L. BEARD.....2804 0-3 942-0389  
CHIEF, FINANCIAL STATEMENTS BRANCH.....EDWARD PICARD.....2820 0-3 942-0346  
SUPV., FINANCIAL ANALYSIS SECTION.....SANDRA L. ANDERSON.....2805 0-3 942-0381  
SUPV., FINANCIAL ANALYSIS SECTION.....GLORIA J. FANTROY.....2806 0-3 942-0371  
SUPV., FEE ACCOUNT SERVICES SECTION.....VIRGINIA NABINETT.....2603 0-6 942-8679  
PROGRAM ANALYST, PLANNING/BUDGET.....LEANNE VAETH.....2817 0-3 942-0352  
PROGRAM SUPPORT SPEC./ADMIN. CONTACT..DEIDRA S. HUNTER.....2819 0-3 942-0342  
FAX.....(703) 914-0172

### 3) SAN FRANCISCO DISTRICT OFFICE

p. 2-35 **DELETE** (under DISTRICT TRIAL COUNSEL)

PROGRAM SUPPORT SPEC./ADMIN. CONTACT..BARBARA BENJAMIN.....705-2447

p. 2-35 **ADD** (Under DISTRICT TRIAL COUNSEL)

PARALEGAL SPECIALIST.....JANET L. JOHNSTON.....705-1079

p. 2-37 **DELETE** (Under BRANCH OF BD EXAM #2)

INVESTOR ASSISTANCE SPECIALIST.....CHERYL M. LAWSON.....705-2479

INVESTOR ASSISTANCE SPECIALIST.....SUSAN LEE.....705-2478

INVESTOR ASSISTANCE SPECIALIST.....CHERYL M. LAWSON.....705-2479

