AUTHENTICATED
U.S. GOVERNMENT
INFORMATION
GPO

Electronic Access Railroad Retirement Board information is available electronically through the Internet, at www.rrb.gov.

Employment Inquiries and applications for employment should be directed to the Bureau of Personnel, Railroad Retirement Board, 844 North Rush Street, Chicago, IL 60611–2092. Phone, 312–751–4570.

Congressional and Legislative Assistance Congressional offices making inquiries regarding constituents' claims should contact the Office of Public Affairs, Congressional Inquiry Section. Phone, 312–751–4974. For information regarding legislative matters, contact the Office of Legislative Affairs, Suite 500, 1310 G Street NW., Washington, DC 20005–3004. Phone, 202–272–7742. Fax, 202–272–7728.

Publications General information pamphlets on benefit programs may be obtained from the Board's field offices or Chicago headquarters. Requests for annual reports or statistical data should be directed to the Office of Public Affairs at the Chicago headquarters. Phone, 312–751–4776. E-mail, opa@rrb.gov.

Telecommunications Devices for the Deaf (TDD) The Board provides TDD services from 9 a.m. to 3:30 p.m. (CST/CDT) daily. Phone, 312–751–4701 for beneficiary inquiries or 312–751–4334 for equal opportunity inquiries.

For further information, contact the Office of Public Affairs, Railroad Retirement Board, 844 North Rush Street, Chicago, IL 60611–2092. Phone, 312–751–4776. E-mail, opa@rrb.gov. Internet, www.rrb.gov.

SECURITIES AND EXCHANGE COMMISSION

450 Fifth Street NW., Washington, DC 20549
Phone, 202–942–4150. Internet, www.sec.gov.

Chairman	ARTHUR LEVITT
Commissioners	NORMAN S. JOHNSON, ISAAC C. HUNT, JR., PAUL R. CAREY, LAURA S. UNGER
Executive Director	JAMES M. MCCONNELL
Associate Executive Director, Office of Administrative and Personnel Management	JAYNE L. SEIDMAN
Associate Executive Director, Office of the Comptroller	MARGARET J. CARPENTER
Associate Executive Director, Office of Filings and Information Services	KENNETH A. FOGASH
Associate Executive Director, Office of Information Technology	MICHAEL E. BARTELL
Chief of Staff	JENNIFER SCARDINO
Chief Accountant	LYNN E. TURNER
Chief Administrative Law Judge	BRENDA P. MURRAY
Chief Economist	(VACANCY)
Director, Division of Corporation Finance	DAVID B. H. MARTIN
Director, Division of Enforcement	RICHARD H. WALKER
Director, Division of Investment Management	PAUL ROYE
Director, Division of Market Regulation	ANNETTE L. NAZARETH
Director, Office of Compliance Inspections and Examinations	LORI A. RICHARDS

Director, Office of Equal Employment Opportunity	DEBORAH K. BALDUCCHI
Director, Office of International Affairs	MARISA LAGO
Director, Office of Investor Education and Assistance	SUSAN F. WYDERKO
Director, Office of Legislative Affairs	TRACEY F. ARONSON
Director, Office of Municipal Securities	PAUL S. MACO
Director, Office of Public Affairs, Policy Evaluation, and Research	CHRISTOPHER ULLMAN
General Counsel	DAVID BECKER
Inspector General	WALTER STACHNIK
Secretary	JONATHAN G. KATZ

[For the Securities and Exchange Commission statement of organization, see the *Code of Federal Regulations,* Title 17, Part 200]

The Securities and Exchange Commission administers Federal securities laws that seek to provide protection for investors; to ensure that securities markets are fair and honest; and, when necessary, to provide the means to enforce securities laws through sanctions.

The Securities and Exchange Commission was created under authority of the Securities Exchange Act of 1934 (15 U.S.C. 78a-78jj) and was organized on July 2, 1934. The Commission serves as adviser to United States district courts in connection with reorganization proceedings for debtor corporations in which there is a substantial public interest. The Commission also has certain responsibilities under section 15 of the Bretton Woods Agreements Act of 1945 (22 U.S.C. 286k-1) and section 851(e) of the Internal Revenue Code of 1954 (26 U.S.C. 851(e)).

The Commission is vested with quasi-judicial functions. Persons aggrieved by its decisions in the exercise of those functions have a right of review by the United States courts of appeals.

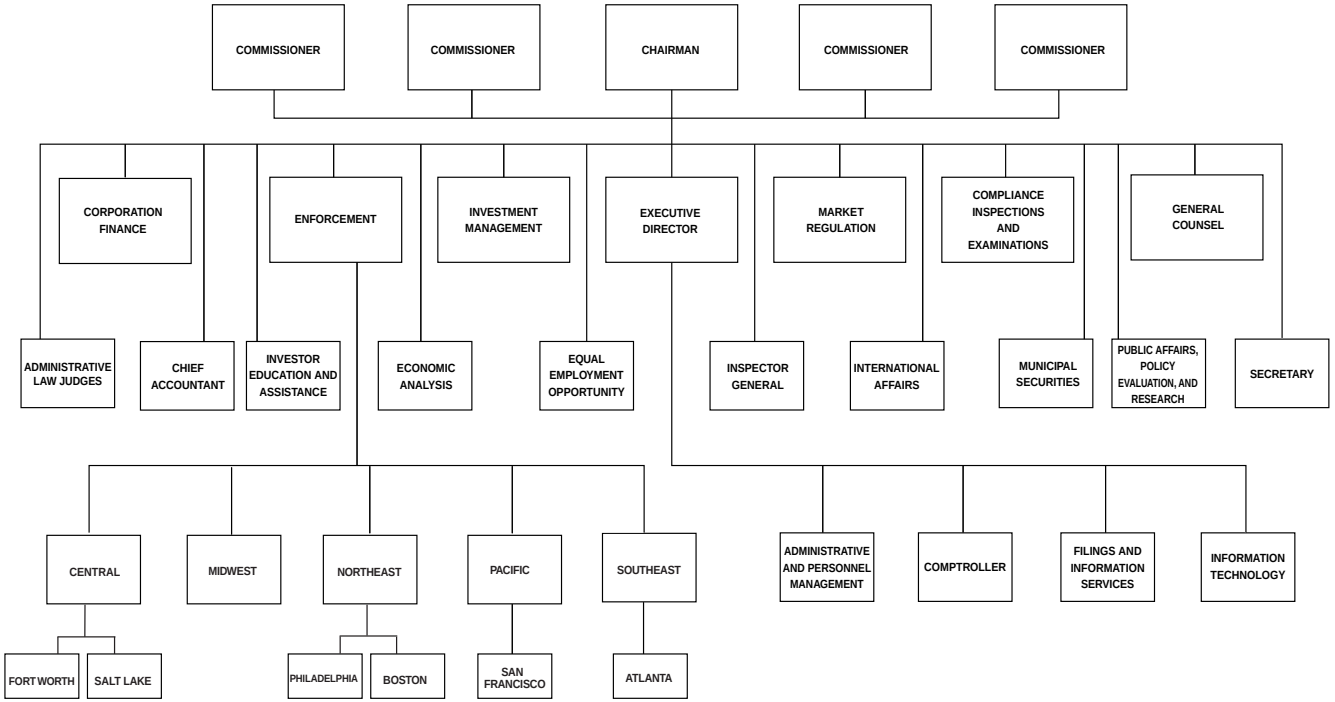
Activities

Full and Fair Disclosure The Securities Act of 1933 (15 U.S.C. 77a) requires issuers of securities and their controlling persons making public offerings of securities in interstate commerce or through the mails to file with the Commission registration statements containing financial and other pertinent data about the issuer and the securities being offered. There are limited exemptions, such as government securities, nonpublic offerings, and intrastate offerings, as well as certain offerings not exceeding $1.5 million. The effectiveness of a registration statement may be refused or suspended after a public hearing if the statement contains material misstatements or omissions, thus barring sale of the securities until it is appropriately amended.

Regulation of Companies Controlling Utilities The Commission regulates the purchase and sale of securities and assets by companies in electric and gas utility holding company systems, their intrasystem transactions and service, and management arrangements. It limits holding companies to a single coordinated utility system and requires simplification of complex corporate and capital structures and elimination of unfair distribution of voting power among holders of system securities.

The purchase and sale of utility properties and other assets may not be made in contravention of rules, regulations, or orders of the Commission regarding the consideration to be received, maintenance of competitive conditions, fees and commissions, accounts, disclosure of interest, and similar matters. In passing upon proposals for reorganization, merger, or consolidation, the Commission must be satisfied that the objectives of the act generally are complied with and that the terms of the proposal are fair and

SECURITIES AND EXCHANGE COMMISSION



equitable to all classes of securities holders affected.

Regulation of Investment Advisers Persons who, for compensation, engage in the business of advising others with respect to securities must register with the Commission. The Commission is authorized to define what practices are considered fraudulent or deceptive and to prescribe means to prevent those practices.

Regulation of Mutual Funds and Other Investment Companies The Commission registers investment companies and regulates their activities to protect investors. The regulation covers sales load, management contracts, composition of boards of directors, and capital structure. The Commission must also determine the fairness of various transactions of investment companies before these actually occur.

The Commission may institute court action to enjoin the consummation of mergers and other plans of reorganization of investment companies if such plans are unfair to securities holders. It also may impose sanctions by administrative proceedings against investment company management for violations of the act and other Federal securities laws and file court actions to enjoin acts and practices of management officials involving breaches of fiduciary duty and personal misconduct and to disqualify such officials from office.

Regulation of Securities Markets The Securities Exchange Act of 1934 assigns to the Commission broad regulatory responsibilities over the securities markets, the self-regulatory organizations within the securities industry, and persons conducting a business in securities. Persons who execute transactions in securities generally are required to register with the Commission as broker-dealers. Securities exchanges and certain clearing agencies are required to register with the Commission, and associations of brokers or dealers are permitted to register with the Commission. The act also provides for the establishment of the Municipal Securities Rulemaking Board to formulate rules for the municipal securities industry.

The Commission oversees the self-regulatory activities of the national securities exchanges and associations, registered clearing agencies, and the Municipal Securities Rulemaking Board. In addition, the Commission regulates industry professionals, such as securities brokers and dealers, certain municipal securities professionals, government securities brokers and dealers, and transfer agents.

Rehabilitation of Failing Corporations In cases of corporate reorganization proceedings administered in Federal courts, the Commission may participates as a statutory party. The principal functions of the Commission are to protect the interests of public investors involved in such cases through efforts to ensure their adequate representation, and to participate in legal and policy issues that are of concern to public investors generally.

Representation of Debt Securities Holders The Commission safeguards the interests of purchasers of publicly offered debt securities issued pursuant to trust indentures.

Enforcement Activities The Commission's enforcement activities are designed to secure compliance with the Federal securities laws administered by the Commission and the rules and regulations adopted thereunder. These activities include measures to:

—compel compliance with the disclosure requirements of the registration and other provisions of the relevant acts;

—prevent fraud and deception in the purchase and sale of securities;

—obtain court orders enjoining acts and practices that operate as a fraud upon investors or otherwise violate the laws;

—suspend or revoke the registrations of brokers, dealers, investment companies, and investment advisers who willfully engage in such acts and practices;

—suspend or bar from association persons associated with brokers, dealers, investment companies, and investment advisers who have violated any

provision of the Federal securities laws; and

—prosecute persons who have engaged in fraudulent activities or other willful violations of those laws.

In addition, attorneys, accountants, and other professionals who violate the securities laws face possible loss of their privilege to practice before the Commission.

To this end, private investigations are conducted into complaints or other indications of securities violations. Evidence thus established of law violations is used in appropriate administrative proceedings to revoke registration or in actions instituted in Federal courts to restrain or enjoin such activities. Where the evidence tends to establish criminal fraud or other willful violation of the securities laws, the facts are referred to the Attorney General for criminal prosecution of the offenders. The Commission may assist in such prosecutions.

Regional/District Offices—Securities and Exchange Commission

(R: Regional Director; D: District Administrator)

Region/District	Address	Official	Telephone
Northeast			
New York, NY	Suite 1300, 7 World Trade Ctr., 10048	Carmen J. Lawrence (R)	212–748–8000
Boston, MA	Suite 600, 73 Tremont St., 02108–3912	Juan Marcel Marcelino (D)	617–424–5900
Philadelphia, PA	Suite 1120 E., 601 Walnut St., 19106–3322	Ronald C. Long (D)	215–597–3100
Southeast			
Miami, FL	Suite 200, 1401 Brickell Ave., 33131	Randall J. Fons (R)	305–536–4700
Atlanta, GA	Suite 1000, 3475 Lenox Rd. NE., 30326–1232	Richard P. Wessel (D)	404–842–7600
Midwest			
Chicago, IL	Suite 1400, 500 W. Madison St., 60661–2511	Mary Keefe (R)	312–353–7390
Central			
Denver, CO	Suite 4800, 1801 California St., 80202–2648	Daniel F. Shea (R)	303–844–1000
Fort Worth, TX	Suite 1900, 801 Cherry St., 76102	Harold F. Degenhardt (D)	817–978–3821
Salt Lake City, UT	Suite 500, 50 S. Main St., 84144–0402	Kenneth D. Israel, Jr. (D)	801–524–5796
Pacific			
Los Angeles, CA	Suite 1100, 5670 Wilshire Blvd., 90036–3648	Valerie Carponi (R)	323–965–3998
San Francisco, CA	Suite 1100, 44 Montgomery St., 94104	Helane Morrison (D)	415–705–2500

Sources of Information

Inquiries regarding the following matters should be directed to the appropriate office, Securities and Exchange Commission, 450 Fifth Street NW., Washington, DC 20549.

Contracts Inquires regarding SEC procurement and contracting activities should be directed to the Office of Administrative and Personnel Management. Phone, 202–942–4990.

Electronic Access Information on the Commission is available through the Internet, at www.sec.gov.

Employment With the exception of the attorney category, positions are in the competitive civil service, which means applicants must apply for consideration for a particular vacancy and go through competitive selection procedures. The Commission operates a college and law school recruitment program, including on-campus visitations for interview purposes. Inquiries should be directed to the Office of Administrative and Personnel Management. Phone, 202–942–4070. Fax, 703–256–2796 or 703–914–0556.

Investor Assistance and Complaints The Office of Investor Education and Assistance answers questions from investors, assists investors with specific problems regarding their relations with broker-dealers and companies, and advises the Commission and other offices and divisions regarding problems frequently encountered by investors and possible regulatory solutions to such problems. Phone, 202–942–7040. Consumer information line, 800–SEC–0330 (toll-free). Fax, 202–942–9634.

Complaints and inquiries may also directed to any regional or district office.

Publications Blank copies of SEC forms and other publications are available in the Publications Unit. Phone, 202–942–4040. *Official Summary*—A monthly summary of securities transactions and holdings of officers, directors, and principal stockholders ($47 per issue) is available through the Superintendent of Documents, Government Printing Office, Washington, DC 20402. Phone, 202–512–1800.

Reading Rooms The Commission maintains a public reference room (phone, 202–942–8090) in Washington, DC, where registration statements and other public documents filed with the Commission are available for public inspection. Much of this information is also available at the Northeast and Midwest regional offices. Copies of public material may be purchased from the Commission's contract copying service at prescribed rates. The Commission also maintains a library (phone, 202–942–7090; fax, 202–942–9629) where additional information may be obtained.

Small Business Activities Information on securities laws that pertain to small businesses in relation to securities offerings may be obtained from the Commission. Phone, 202–942–2950.

For further information, contact the Office of Public Affairs, Securities and Exchange Commission, 450 Fifth Street NW., Washington, DC 20549–0711. Phone, 202–942–0020. Fax, 202–942–9654. Internet, www.sec.gov.

SELECTIVE SERVICE SYSTEM

National Headquarters, Arlington, VA 22209–2425
Phone, 703–605–4000. Internet, www.sss.gov.

Director	GIL CORONADO
Deputy Director	WILLIE L. BLANDING, JR.
Chief of Staff	LT. COL. ROGELIO RODRIGUEZ, USAF
Counselor and General Counsel	(VACANCY)
Director for Information Management	NORMAN W. MILLER
Director for Operations	COL. JUSTO GONZALEZ, USA
Director for Public and Congressional Affairs	LEWIS C. BRODSKY
Director for Resource Management	D. FREIDA BROCKINGTON
Financial Manager	CARLO VERDINO
Inspector General	ALFRED RASCON

[For the Selective Service System statement of organization, see the *Code of Federal Regulations,* Title 32, Part 1605]

The mission of the Selective Service System is to provide untrained manpower to the Armed Forces in an emergency, and to operate an Alternative Service Program during a draft for men classified as conscientious objectors.

The Selective Service System was established by the Military Selective Service Act (50 U.S.C. app. 451–471a). The act requires the registration of male citizens of the United States and all other male persons who are in the United States and who are between the ages of 18 and 26. The act exempts members of the active Armed Forces and nonimmigrant aliens. Proclamation 4771 of July 20, 1980, requires male persons born on or after January 1, 1960, and who have attained age 18 but have not attained age 26 to register. Registration is