AUTHENTICATED
U.S. GOVERNMENT
INFORMATION
GPO



Office of Legislative Affairs, Suite 500, 1310 G Street NW., Washington, DC 20005–3004. Phone, 202–272–7742. Fax, 202–272–7728. E-mail, ola@rrb.gov.

**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 Public Affairs at the Chicago headquarters. Phone, 312–751–4777. Fax, 312–751–7154. E-mail, opa@rrb.gov.

**Telecommunications Devices for the Deaf (TDD)** The Board provides TDD services. Phone, 312–751–4701 for beneficiary inquiries or 312–751–4334 for equal opportunity inquiries.

**For further information, contact Public Affairs, Railroad Retirement Board, 844 North Rush Street, Chicago, IL 60611–2092. Phone, 312–751–4777. E-mail, opa@rrb.gov. Internet, www.rrb.gov.**

---

# SECURITIES AND EXCHANGE COMMISSION

*450 Fifth Street NW., Washington, DC 20549*
*Phone, 202–551–7500. Internet, www.sec.gov.*

| | |
|---|---|
| Chairman | WILLIAM H. DONALDSON |
| Commissioners | PAUL ATKINS, ROEL CAMPOS, CYNTHIA GLASSMAN, HARVEY GOLDSCHMID |
| Managing Executive for Policy and Staff | JOSEPH A. HALL |
| Managing Executive for Operations and Management | PETER DERBY |
| Managing Executive for External Affairs | (VACANCY) |
| Director, Office of Legislative Affairs | JANE COBB |
| Director, Office of Public Affairs | (VACANCY) |
| Director, Office of Investor Education and Assistance | SUSAN FERRIS-WYDERKO |
| Secretary | JONATHAN G. KATZ |
| Executive Director | JAMES M. MCCONNELL |
| Associate Executive Director, Office of Human Resources | JEFFREY RISINGER |
| Associate Executive Director, Office of Administrative Services | ANNE O'DONOGHUE |
| Associate Executive Director, Office of Financial Management | MARGARET J. CARPENTER |
| Associate Executive Director, Office of Filings and Information Services | KENNETH A. FOGASH |
| General Counsel | GIOVANNI P. PREZIOSO |
| Director, Division of Corporation Finance | ALAN L. BELLER |
| Director, Division of Enforcement | STEPHEN M. CUTLER |
| Director, Division of Investment Management | (VACANCY) |
| Director, Division of Market Regulation | ANNETTE L. NAZARETH |
| Director, Office of Compliance Inspections and Examinations | LORI A. RICHARDS |
| Chief Accountant | DONALD T. NICOLAISEN |
| Chief Administrative Law Judge | BRENDA P. MURRAY |
| Chief Economist | CHESTER SPATT |
| Chief Information Officer, Office of Information Technology | R. COREY BOOTH |

| | |
|---|---|
| Director, Office of International Affairs | ETHIOPIS TAFARA |
| Director, Office of Equal Employment Opportunity | DEBORAH K. BALDUCCHI |
| Inspector General | WALTER J. STACHNIK |

[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 (SEC) 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

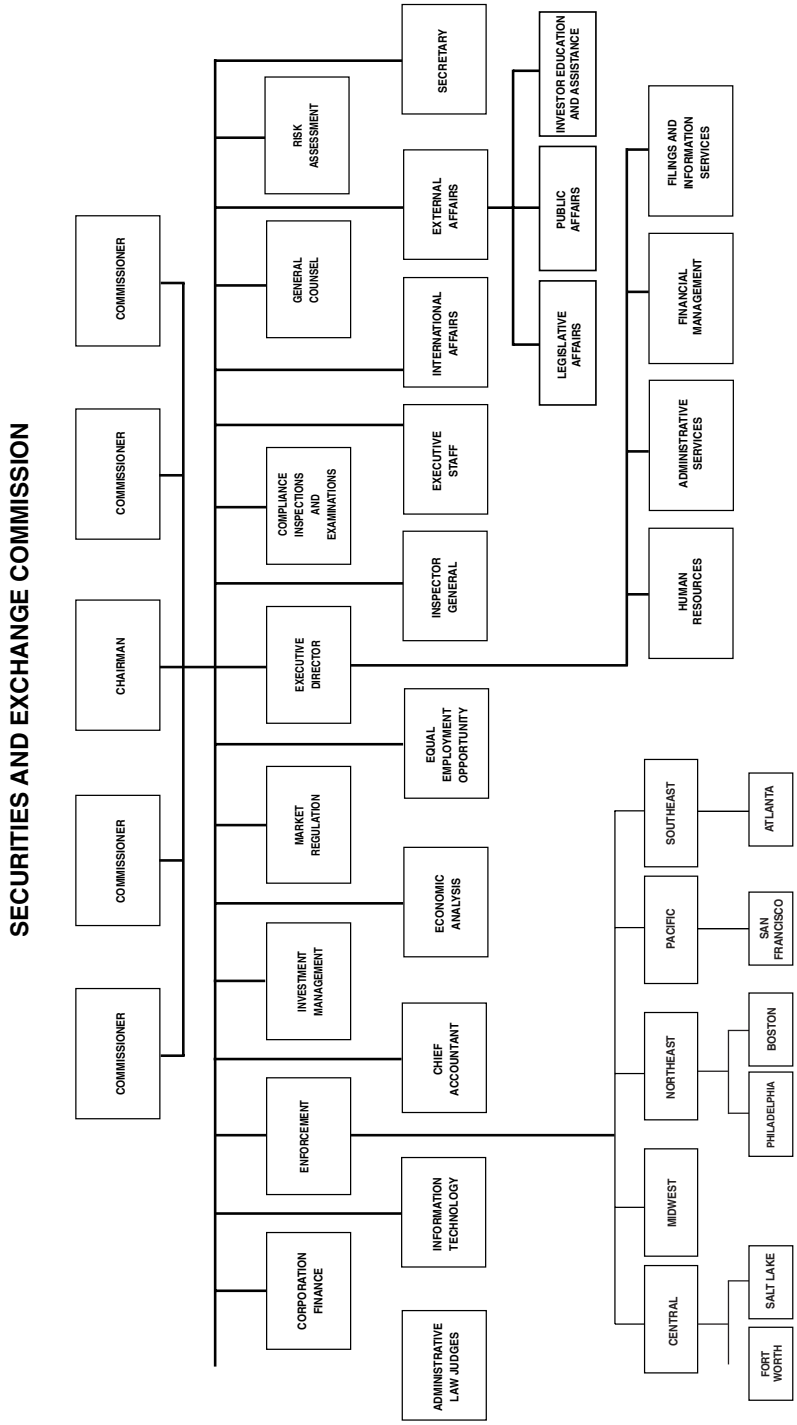
**Full and Fair Disclosure** The Securities Act of 1933 (15 U.S.C. 77a) requires issuers of securities and their controlling persons making public offerings of securities in interstate commerce or through the mail to file with the Commission registration statements containing financial and other pertinent 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 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


SECURITIES AND EXCHANGE COMMISSION
COMMISSIONER
COMMISSIONER
CHAIRMAN
COMMISSIONER
COMMISSIONER
CORPORATION FINANCE
ENFORCEMENT
INVESTMENT MANAGEMENT
MARKET REGULATION
EXECUTIVE DIRECTOR
COMPLIANCE INSPECTIONS AND EXAMINATIONS
GENERAL COUNSEL
RISK ASSESSMENT
ADMINISTRATIVE LAW JUDGES
INFORMATION TECHNOLOGY
CHIEF ACCOUNTANT
ECONOMIC ANALYSIS
EQUAL EMPLOYMENT OPPORTUNITY
INSPECTOR GENERAL
EXECUTIVE STAFF
INTERNATIONAL AFFAIRS
EXTERNAL AFFAIRS
SECRETARY
LEGISLATIVE AFFAIRS
PUBLIC AFFAIRS
INVESTOR EDUCATION AND ASSISTANCE
HUMAN RESOURCES
ADMINISTRATIVE SERVICES
FINANCIAL MANAGEMENT
FILINGS AND INFORMATION SERVICES
CENTRAL
MIDWEST
NORTHEAST
PACIFIC
SOUTHEAST
FORT WORTH
SALT LAKE
PHILADELPHIA
BOSTON
SAN FRANCISCO
ATLANTA

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 participate 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 do the following:

—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 | The Woolworth Bldg., 233 Broadway, 10279 | Mark K. Schonfeld (R) | 646–428–1500 |
| Boston, MA | Suite 600, 73 Tremont St., 02108–3912 | Peter Bresnan, *Acting* (D) | 617–424–5900 |
| Philadelphia, PA | Suite 2000, 701 Market St., 19106–1532 | Arthur S. Gabinet (D) | 215–597–3100 |
| Southeast | | | |
| Miami, FL | Suite 1800, 801 Brickell Ave., 33131 | David P. Nelson (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 900, 175 W. Jackson Blvd., 60604 | Merri Jo Gillette (R) | 312–353–7390 |
| Central | | | |
| Denver, CO | Suite 1500, 1801 California St., 80202–2656 | Randall J. Fons (R) | 303–844–1000 |
| Fort Worth, TX | Burnett Plaza, Suite 1900, 801 Cherry St. Unit 18, 76102–6882 | 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 | 11th Fl., 5670 Wilshire Blvd., 90036–3648 | Randall R. Lee (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** Inquiries regarding SEC procurement and contracting activities should be directed to the Office of Administrative Services. Phone, 202–551–7300.

**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 Human Resources. Phone, 202–942–7320. Fax, 202–942–9619.

**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, 202–551–6339. Consumer information line, 800–SEC–0330. Fax, 202–942–9634. Complaints and inquiries may also be 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.

**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. 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 20549–0211. 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 | WILLIAM A. CHATFIELD |
| Deputy Director | S. ERIC BENSON |
| Chief of Staff | ERNEST E. GARCIA |
| Special Assistant | CARLO VERDINO |
| General Counsel | RUDY SANCHEZ |
| Director for Mobilization | WILLIE C. BLANDING, JR. |
| Director for Public and Intergovernmental Affairs | RICHARD S. FLAHAVAN |
| Director for Support Services | EDWARD A. BLACKADAR, JR. |
| Director for Information Technology | SCOTT CAMPBELL |
| Director for Financial Management | WILLIAM REESE |

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

---

*The Selective Service System provides manpower to the Armed Forces in an emergency and operates 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 ages 18 to 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 conducted at post offices within the United States, at U.S. embassies and consulates outside the United States, and online at www.sss.gov.

The act imposes liability for training and service in the Armed Forces upon registrants who are ages 18 to 26, except those who are exempt or deferred. Persons who have been deferred remain liable for training and service until age 35. Aliens are not liable for training and service until they have remained in the United States for more than 1 year. Conscientious objectors who are found to be opposed to all service in the Armed Forces are required to perform civilian work in lieu of induction into the Armed Forces.

The authority to induct registrants, including doctors and allied medical specialists, expired July 1, 1973.