

SEC Division Directors

(Note: Unless otherwise noted, information for this chart was taken from SEC Annual Reports dated June 30 of the year shown below for 1935 - 1976; from 1977- present the Annual Reports are dated September 30 of the year shown below.)

Date	Division	Name
1935	Registration Division General Counsel Trading and Exchange Division	Baldwin B. Bane John J. Burns David Saperstein
1936	Registration Division Chief Accountant General Counsel Trading and Exchange Division	Baldwin B. Bane Carman G. Blough John J. Burns David Saperstein
1937	Registration Division Chief Accountant Trading and Exchange Division General Counsel	Baldwin B. Bane Carman G. Blough David Saperstein Allen A. Throop
1938	Registration Division Chief Accountant Trading and Exchange Division General Counsel	Baldwin B. Bane Carman G. Blough Ganson Purcell Allen A. Throop
1939	Registration Division General Counsel Trading and Exchange Division Chief Accountant	Baldwin B. Bane Chester T. Lane Ganson Purcell William W. Werntz
1940	Registration Division General Counsel Trading and Exchange Division Chief Accountant	Baldwin B. Bane Chester T. Lane Ganson Purcell William W. Werntz

1941 Registration Division
General Counsel
Trading and Exchange Division
Chief Accountant

Baldwin B. Bane
Chester T. Lane
James A. Treanor, Jr.
William W. Wertz

1942 *Source: Who's Who in America, v.23, 1944-1945 (division & director information not available in the SEC Annual Report, 1942)*

General Counsel
Trading and Exchange Division

Chester T. Lane
James A. Treanor, Jr.

1943 *Source for division information:
SEC Annual Report, 1943*

Corporation Finance Division
Solicitor
Opinion Writing Office
Chief Accountant
Trading and Exchange Division

Source: Who's Who in America, v.25 1948-1949 (director information not available in the SEC Annual Report, 1943)

(not available)
(not available)
(not available)
William W. Wertz
James A. Treanor, Jr.

1944 Corporation Finance Division
Trading and Exchange Division
Solicitor
Chief Accountant
Opinion Writing Office

Baldwin B. Bane
James A. Treanor, Jr.
Roger S. Foster
William W. Wertz
Robert M. Blair-Smith

1945 *Source for division information:
SEC Annual Report, 1945*

Corporation Finance Division
Trading and Exchange Division
Solicitor
Chief Accountant
Opinion Writing Office

Source: SEC Telephone Directory, Dec. 1945 (director information not available in the SEC Annual Report, 1945)

Baldwin B. Bane
James A. Treanor, Jr.
Roger S. Foster
William W. Wertz
Herbert B. Cohn

1946 Corporation Finance Division
Trading and Exchange Division
Solicitor
Chief Accountant
Opinion Writing Office

Baldwin B. Bane
James A. Treanor, Jr.
Roger S. Foster
William W. Wertz
Herbert B. Cohn

<p>1947 Corporation Finance Division Trading and Exchange Division Solicitor Chief Accountant Opinion Writing Office</p>	<p>Baldwin B. Bane James A. Treanor, Jr. Roger S. Foster Earle C. King Herbert B. Cohn</p>
<p>1948 Corporation Finance Division Division of Trading and Exchanges General Counsel Division of Opinion Writing Chief Accountant</p>	<p>Baldwin B. Bane Edward H. Cashion Roger S. Foster Michael E. Mooney Earle C. King</p>
<p>1949 Division of Corporation Finance Division of Trading and Exchanges General Counsel Chief Accountant Division of Opinion Writing</p>	<p>Baldwin B. Bane Anthon H. Lund Roger S. Foster Earle C. King Michael E. Mooney</p>
<p>1950 Division of Corporation Finance Division of Trading and Exchanges General Counsel Chief Accountant Division of Opinion Writing</p>	<p>Baldwin B. Bane Anthon H. Lund Roger S. Foster Earle C. King Michael E. Mooney</p>
<p>1951 Division of Corporation Finance Division of Trading and Exchanges General Counsel Chief Accountant Division of Opinion Writing</p>	<p>Baldwin B. Bane Anthon H. Lund Roger S. Foster Earle C. King Leonard Helfenstein</p>
<p>1952 Division of Corporation Finance Division of Trading and Exchanges General Counsel Chief Accountant Office of Opinion Writing</p>	<p>Byron D. Woodside Anthon H. Lund Roger S. Foster Earle C. King Leonard Helfenstein</p>

1953	Division of Corporation Finance Division of Corporate Regulation Division of Trading and Exchanges General Counsel Chief Accountant Office of Opinion Writing	Byron D. Woodside Robert A. McDowell Anthon H. Lund William H. Timbers Earle C. King Leonard Helfenstein
1954	Division of Corporation Finance Division of Corporate Regulation Division of Trading and Exchanges General Counsel Chief Accountant Office of Opinion Writing	Byron D. Woodside Robert A. McDowell Harold C. Patterson William H. Timbers Earle C. King Leonard Helfenstein
1955	Division of Corporation Finance Division of Corporate Regulation Division of Trading and Exchanges General Counsel Chief Accountant Office of Opinion Writing	Byron D. Woodside Robert A. McDowell Harold C. Patterson William H. Timbers Earle C. King Leonard Helfenstein
1956	Division of Corporation Finance Division of Corporate Regulation Division of Trading and Exchanges General Counsel Chief Accountant Office of Opinion Writing	Byron D. Woodside Ray Garrett, Jr. Philip A. Loomis, Jr. Thomas G. Meeker Earle C. King Leonard Helfenstein
1957	Division of Corporation Finance Division of Corporate Regulation Division of Trading and Exchanges General Counsel Chief Accountant Office of Opinion Writing	Byron D. Woodside Joseph C. Woodle Philip A. Loomis, Jr. Thomas G. Meeker Andrew Barr Leonard Helfenstein

<p>1958 Division of Corporation Finance Division of Corporate Regulation Division of Trading and Exchanges General Counsel Chief Accountant Office of Opinion Writing</p>	<p>Byron D. Woodside Joseph C. Woodle Philip A. Loomis, Jr. Thomas G. Meeker Andrew Barr Leonard Helfenstein</p>
<p>1959 Division of Corporation Finance Division of Corporate Regulation Division of Trading and Exchanges General Counsel Chief Accountant Office Opinion Writing</p>	<p>Byron D. Woodside Joseph C. Woodle Philip A. Loomis, Jr. Thomas G. Meeker Andrew Barr Leonard Helfenstein</p>
<p>1960 Division of Corporation Finance Division of Corporate Regulation Division of Trading and Exchanges General Counsel Chief Accountant Office of Opinion Writing</p>	<p>Manuel F. Cohen Joseph C. Woodle Philip A. Loomis, Jr. Walter P. North Andrew Barr Leonard Helfenstein</p>
<p>1961 Division of Corporation Finance Division of Corporate Regulation Division of Trading and Exchanges General Counsel Chief Accountant Office of Opinion Writing</p>	<p>Edmund H. Worthy (Acting) Allan F. Conwill Philip A. Loomis, Jr. Peter A. Dammann Andrew Barr Leonard Helfenstein</p>
<p>1962 Division of Corporation Finance Division of Corporate Regulation Division of Trading and Exchanges General Counsel Chief Accountant Office of Opinion Writing</p>	<p>Edmund H. Worthy Allan F. Conwill Philip A. Loomis, Jr. Peter A. Dammann Andrew Barr Leonard Helfenstein</p>

<p>1963 Division of Corporation Finance Division of Corporate Regulation Division of Trading and Markets General Counsel Chief Accountant Office of Opinion Writing</p>	<p>Edmund H. Worthy Allan F. Conwill Ralph S. Saul Philip A. Loomis, Jr. Andrew Barr Leonard Helfenstein</p>
<p>1964 Division of Corporation Finance Division of Corporate Regulation Division of Trading and Markets General Counsel Chief Accountant Office of Opinions and Review</p>	<p>Edmund H. Worthy Solomon Freedman Ralph S. Saul Philip A. Loomis, Jr. Andrew Barr Leonard Helfenstein</p>
<p>1965 Division of Corporation Finance Division of Corporate Regulation Division of Trading and Markets General Counsel Chief Accountant Office of Opinions and Review</p>	<p>Edmund H. Worthy Solomon Freedman Irving M. Pollack Philip A. Loomis, Jr. Andrew Barr Leonard Helfenstein</p>
<p>1966 Division of Corporation Finance Division of Corporate Regulation Division of Trading and Markets General Counsel Chief Accountant Office of Opinions and Review</p>	<p>Edmund H. Worthy Solomon Freedman Irving M. Pollack Philip A. Loomis, Jr. Andrew Barr Leonard Helfenstein</p>
<p>1967 Division of Corporation Finance Division of Corporate Regulation Division of Trading and Markets General Counsel Chief Accountant Office of Opinions and Review</p>	<p>Edmund H. Worthy Solomon Freedman Irving M. Pollack Philip A. Loomis, Jr. Andrew Barr Leonard Helfenstein</p>

1968 Division of Corporation Finance Division of Corporate Regulation Division of Trading and Markets General Counsel Chief Accountant Office of Opinions and Review	Charles E. Shreve Solomon Freedman Irving M. Pollack Philip A. Loomis, Jr. Andrew Barr Leonard Helfenstein
1969 Division of Corporation Finance Division of Corporate Regulation Division of Trading and Markets General Counsel Chief Accountant Office of Opinions and Review	Charles E. Shreve Solomon Freedman Irving M. Pollack Philip A. Loomis, Jr. Andrew Barr Leonard Helfenstein
1970 Division of Corporation Finance Division of Corporate Regulation Division of Trading and Markets General Counsel Chief Accountant Office of Opinions and Review	Alan B. Levenson Solomon Freedman Irving M. Pollack Philip A. Loomis, Jr. Andrew Barr Leonard Helfenstein
1971 Division of Corporation Finance Division of Corporate Regulation Division of Trading and Markets General Counsel Chief Accountant Office of Opinions and Review	Alan B. Levenson Solomon Freedman Irving M. Pollack G. Bradford Cook, Jr. Andrew Barr Leonard Helfenstein
1972 Division of Corporation Finance Division of Enforcement Division of Market Regulation Investment Company Regulation Division of Corporate Regulation General Counsel Chief Accountant Office of Opinions and Review	Alan B. Levenson Irving M. Pollack G. Bradford Cook, Jr. Allan S. Mostoff Aaron Levy Walter P. North (Acting) John C. Burton Leonard Helfenstein

1973	Division of Corporation Finance Division of Enforcement Division of Market Regulation Investment Company Regulation Division of Corporate Regulation General Counsel Chief Accountant Office of Opinions and Review	Alan B. Levenson Irving M. Pollack Lee A. Pickard Allan S. Mostoff Aaron Levy Lawrence E. Nerheim John C. Burton Bernard Wexler
1974	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management Regulation Division of Corporate Regulation General Counsel Chief Accountant Office of Opinions and Review	Alan B. Levenson Stanley Sporkin Lee A. Pickard Allan S. Mostoff Aaron Levy Lawrence E. Nerheim John C. Burton Bernard Wexler
1975	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management Regulation Division of Corporate Regulation General Counsel Chief Accountant Office of Opinions and Review	Richard H. Rowe Stanley Sporkin Lee A. Pickard Anne P. Jones Aaron Levy Harvey Pitt John C. Burton Bernard Wexler
1976	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management Division of Corporate Regulation General Counsel Chief Accountant Office of Opinions and Review	Richard H. Rowe Stanley Sporkin Lee A. Pickard Anne P. Jones Aaron Levy Harvey Pitt A. Clarence Sampson (Acting) Bernard Wexler

1977	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management Division of Corporate Regulation General Counsel Chief Accountant Office of Opinions and Review	Richard H. Rowe Stanley Sporkin Andrew M. Klein Sydney H. Mendelsohn Aaron Levy Harvey Pitt A. Clarence Sampson (Acting) (vacant)
1978	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management Division of Corporate Regulation General Counsel Chief Accountant Office of Opinions and Review	Edward F. Greene Stanley Sporkin Andrew M. Klein Sydney H. Mendelsohn Aaron Levy Ralph C. Ferrara A. Clarence Sampson William Stern (Acting)
1979	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management Division of Corporate Regulation General Counsel Chief Accountant Office of Opinions and Review	Edward F. Greene Stanley Sporkin Douglas S. Scarff Sydney H. Mendelsohn Aaron Levy Ralph C. Ferrara A. Clarence Sampson William Stern
1980	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management Division of Corporate Regulation General Counsel Chief Accountant Office of Opinions and Review	Edward F. Greene Stanley Sporkin Douglas Scarff Sydney H. Mendelsohn Aaron Levy Ralph C. Ferrara A. Clarence Sampson William Stern

1981	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management Division of Corporate Regulation General Counsel Chief Accountant Office of Opinions and Review	Lee B. Spencer John M. Fedders Douglas Scarff Joel H. Goldberg Aaron Levy Edward Greene A. Clarence Sampson William S. Stern
1982	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management Division of Corporate Regulation General Counsel Chief Accountant Office of Opinions and Review	Lee B. Spencer John M. Fedders Douglas Scarff Joel H. Goldberg Aaron Levy Edward F. Greene A. Clarence Sampson William S. Stern
1983	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management Division of Corporate Regulation General Counsel Chief Accountant Office of Opinions and Review	John J. Huber John M. Fedders Douglas Scarff Kathryn B. McGrath Aaron Levy Daniel L. Goelzer A. Clarence Sampson William S. Stern
1984	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management General Counsel Chief Accountant Office of Opinions and Review	John J. Huber John M. Fedders Richard G. Ketchum Kathryn B. McGrath Daniel L. Goelzer A. Clarence Sampson William S. Stern

1985	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management General Counsel Chief Accountant Office of Opinions and Review	John J. Huber Gary G. Lynch Richard G. Ketchum Kathryn B. McGrath Daniel L. Goelzer A. Clarence Sampson William S. Stern
1986	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management General Counsel Chief Accountant Office of Opinions and Review	Linda C. Quinn Gary G. Lynch Richard G. Ketchum Kathryn B. McGrath Daniel L. Goelzer A. Clarence Sampson William S. Stern
1987	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management General Counsel Chief Accountant Office of Opinions and Review	Linda C. Quinn Gary G. Lynch Richard G. Ketchum Kathryn B. McGrath Daniel L. Goelzer A. Clarence Sampson William S. Stern
1988	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management General Counsel Chief Accountant Office of Opinions and Review	Linda C. Quinn Gary G. Lynch Richard G. Ketchum Kathryn B. McGrath Daniel L. Goelzer Edmund Coulson William S. Stern

1989	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management General Counsel Chief Accountant	Linda C. Quinn (vacant) Richard G. Ketchum Kathryn B. McGrath Daniel L. Goelzer Edmund Coulson
1990	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management General Counsel Chief Accountant	Linda C. Quinn William R. McLucas Richard G. Ketchum (vacant) James R. Doty Edmund Coulson
1991	Division of Corporation Finance Division of Enforcement Division of Market Regulation Division of Investment Management General Counsel Chief Accountant	Linda C. Quinn William R. McLucas William H. Heyman Marianne K. Smythe James R. Doty (vacant)
1992	Division of Corporation Finance Division of Enforcement Division of Investment Management Division of Market Regulation General Counsel Chief Accountant	Linda C. Quinn William R. McLucas Marianne K. Smythe William H. Heyman James R. Doty Walter P. Schuetze
1993	Division of Corporation Finance Division of Enforcement Division of Investment Management Division of Market Regulation General Counsel Chief Accountant	Linda C. Quinn William R. McLucas Barry Barbash Brandon Becker Simon M. Lorne Walter P. Schuetze

1994	Division of Corporation Finance Division of Enforcement Division of Investment Management Division of Market Regulation General Counsel Chief Accountant	Linda C. Quinn William R. McLucas Barry Barbash Brandon Becker Simon M. Lorne Walter Schuetze
1995	Division of Corporation Finance Division of Enforcement Division of Investment Management Division of Market Regulation General Counsel Chief Accountant	Linda C. Quinn William R. McLucas Barry Barbash Brandon Becker Simon Lorne Michael H. Sutton
1996	Division of Corporation Finance Division of Enforcement Division of Investment Management Division of Market Regulation General Counsel Chief Accountant	Brian J. Lane William R. McLucas Barry Barbash Richard Lindsey Richard Walker Michael H. Sutton
1997	Division of Corporation Finance Division of Enforcement Division of Investment Management Division of Market Regulation General Counsel Chief Accountant	Brian J. Lane William R. McLucas Barry Barbash Richard Lindsey Richard Walker Michael H. Sutton
1998	Division of Corporation Finance Division of Enforcement Division of Investment Management Division of Market Regulation General Counsel Chief Accountant	Brian J. Lane Richard Walker (vacant) Richard Lindsey Harvey Goldschmid Lynn E. Turner

1999 Division of Corporation Finance
Division of Enforcement
Division of Investment Management
Division of Market Regulation
General Counsel
Chief Accountant

Brian J. Lane
Richard Walker
Paul F. Roye
Annette Nazareth
Harvey Goldschmid
Lynn E. Turner

2000 Division of Corporation Finance
Division of Enforcement
Division of Investment Management
Division of Market Regulation
General Counsel
Chief Accountant

David B. H. Martin, Jr.
Richard H. Walker
Paul F. Roye
Annette Nazareth
David M. Becker
Lynn E. Turner