

January 18, 2022  
Kenneth Durr  
Key for Krentzman Scanned Documents

*First line is the file name*  
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*Third line is document description*

1972\_0609\_S-4 and S-5 Guidelines  
June 9, 1972  
Guidelines for the Preparation of Form S-4 and S-5 Including the Prospectus for  
a Management Investment Company

1972\_0628\_S-4 and S-5 Guidelines  
June 28, 1972  
Preparation of Forms S-4 and S-5 Including Prospectus for Management Investment Company

1974\_1104\_FeuersteinRosenblat  
November 4, 1974  
Donald Feuerstein to Alan Rosenblat concerning the terms and conditions under which registered  
investment companies may lend their portfolio securities, with response.

1980\_0701\_TsaiInvestment Management  
July 1, 1980  
Elizabeth Tsai to the Office of Chief Counsel, Division of Investment Management on Putnam  
Diversified Income Trust

1984\_0416\_Stratton Admin Proceeding  
April 16, 1984  
Order Instituting Proceedings, Making Findings and Imposing Remedial Sanctions in the matter  
of Stratton Management Company

1985\_0619\_McGrathFink  
June 19, 1985  
Kathryn B. McGrath to Matthew Fink on repurchase agreements

1988\_0918\_Mustang Ranch S-1  
September 18, 1988  
Mustang Ranch, Inc. Form S-1 Registration Statement

1989\_1003\_LewisRegistrant  
October 3, 1989

Carolyn B. Lewis to Investment Company Registrant Regarding Investment in High-Yield Bonds

1989\_1222\_PodestaTyle

December 22, 1989

Mary S. Podesta to Craig S. Tyle Regarding Disclosure for Junk Bonds

1990\_0223\_LewisFink

February 23, 1990

Carolyn B. Lewis to Matthew Fink Regarding Requirements for Funds Investing in Junk Bonds

1990\_0507\_GreggPlotkin

May 7, 1990

Richard L. Gregg to Robert Plotkin on Hold-in-Custody Repo Requirements

1990\_0829\_HoenigKetchum

August 29, 1990

Ronald H. Hoenig to Richard Ketchum Requesting Clarification on SEC Rule 28 (e)

1990\_1015\_KetchumHoenig

October 15, 1990

Richard Ketchum to Ronald H. Hoenig on Availability of Section 28 (e) for Certain Principal Transactions

1992\_1110\_StraussOffice of Chief Counsel

November 10, 1992

Stuart Strauss to the Division of Investment Management Office of Chief Counsel Regarding Interpretation of Rule 20a-1(a)

1992\_1118\_UlstrupChief Counsel

November 18, 1992

Julia S. Ulstrup to the Division of Investment Management Office of Chief Counsel Regarding Dean Witter Value Fund

1993\_0224\_RobertsonHarman

February 24, 1993

Paul K. Robertson to Thomas Harman Regarding United Services Funds No-Action Request

1993\_0423\_CayneInvestment Management

April 23, 1993

Jana M. Cayne to Division of Investment Management Office of Chief Counsel Regarding  
United Services Funds

1995\_1103\_SneedRegistrant

November 3, 1995

Brenda D. Sneed to Registrants Providing Guidance to Insurance Filers

1995\_Alsop Final Judgment

1995

Consent Decree Against Peter S. Alsop

1996\_1107\_NashRegistrant

November 7, 1996

Susan Nash to Registrant Providing Guidance to Insurance Company Registrants

1997\_0801\_Alsop Consent

August 1, 1997

Consent of Peter S. Alsop

1997\_1113\_Advisory Council

November 13, 1997

Report of the Working Group on Soft Dollars/Commission Recapture

1998\_0528\_DoyleTartikoff

May 28, 1998

Robert J. Doyle to William Tartikoff on ERISA Fiduciary Responsibility Rules

1999\_0114\_ReedKatz

January 14, 1999

Tamara K. Reed to Jonathan G. Katz on Proposed Rule 202(a)(11)-1

2000\_0710\_Investment Industry to Strasfeld

July 10, 2000

Walters, Tyle, Barr, and Kaswell to Ivan Strasfeld Supporting Cross-Trading Exemption from  
Section 406(b)(2) of ERISA

2001\_0409\_PlazeTyle

April 9, 2001

Robert Plaze to Craig S. Tyle Regarding Guidance on Regulation S-P

2001\_0924\_NYSE Terrorism Memo

September 24, 2001

Salvatore Pallante to All NYSE Members Regarding Bush Executive Order Targeting Terrorists

2002\_0114\_LancelottaKatz

January 14, 2002

Amy Lancellotta to Jonathan Katz Regarding Actively Managed Exchange-Traded Funds

2002\_NASD Proposed 3011

2002

SEC Memo on Proposed Rule Change to Adopt New Rule 3011

2003\_0903\_Canary Capital Complaint

September 3, 2003

Complaint: State of New York v. Canary Capital Partners

2004\_0902\_Chamber of Commerce Complaint

September 2, 2004

Complaint: Chamber of Commerce v. SEC

2005\_0627\_KrentzmanKatz

June 27, 2005

Elizabeth R. Krentzman to Jonathan Katz Regarding Investment Company Governance

2005\_0707\_Chamber of Commerce Petition

July 7, 2005

Petition for Review: Chamber of Commerce v. SEC

2005\_0805\_Chamber of Commerce SEC Response

August 5, 2005

Response of Securities and Exchange Commission in Opposition to Motion for Stay of Commission Order in Chamber of Commerce v. SEC

2005\_0810\_Chamber of Commerce Order

August 10, 2005

US Court of Appeals Order in Chamber of Commerce v. SEC

2005\_0825\_Chamber of Commerce\_Petitioners Cert

August 25, 2005

Petitioner's Certificate as to Parties, Rulings, and Related Cases

2005\_0825\_Chamber of Commerce\_Petitioners Statement

August 25, 2005

Petitioner's Statement Regarding Use of Deferred Appendix in Chamber of Commerce v. SEC

2005\_0825\_Chamber of Commerce-SEC Prelim Statement

2005\_0921\_Chamber of Commerce Petition for Review

September 21, 2005

Petitioner's Preliminary Statement of Issues to be Raised in Chamber of Commerce v. SEC

2006\_02\_TBMA Cross Trading Policy Brief

February 2006

TBMA Policy Brief: "Cross Trading will Improve Returns for Private Pension Plan Participants"

2006\_0106\_Chamber of Commerce Initial Brief

January 6, 2006

Brief of the Securities and Exchange Commission, Respondent in Chamber of Commerce v. SEC

2006\_0106\_Chamber of Commerce Oral Argument

January 6, 2006

Initial Brief of Oral Argument in Chamber of Commerce v. SEC

2006\_0307\_Haddock v Nationwide

March 7, 2006

Amended Memorandum of Decision in Haddock v. Nationwide Financial Services

