

Kenneth Durr
October 29, 2024
Key to FINRA Documents

1934_0501_Code of Fair Competition for Investment Bankers

May 1, 1934

Memo on provisions regarding floor brokers in the Code of Fair Competition for Investment Bankers

1934_0502_NRA Notice of Opportunity

May 2, 1934

NRA memo and announcement of Investment Bankers Code Committee budget application

1934_0526_NRA Approval of Budget

May 26, 1934

Press release announcing approval of Investment Bankers Code Committee budget

1934_0715_General Outline of Code Activities

July 15, 1934

Report on Investment Bankers Code Committee activities from July 1934 to October 1934

1934_0830_WilburChairmen

August 30, 1934

Request to Code Committee Regional Chairmen for personnel reports and report on Washington Office

1934_0924_WilburChairmen

September 24, 1934

Memo outlining Regional Committee responsibilities for Code enforcement

1934_0925_NRA Notice of Opportunity

September 25, 1934

Public notice of Investment Bankers Code Committee budget for late 1934

1934_0926_KerchevalPatton

September 26, 1934

Memo regarding discontent with Code provisions regarding salesman experience

1934_0927_PattonKercheval

September 27, 1934

Memo on Chicago Regional Code Committee efforts to establish salesman qualifications

1934_1020_WilburMembers

October 20, 1934

Announcement of Joseph P. Kennedy's upcoming attendance at an Investment Bankers Code Committee meeting

1934_1116_WilburChairmen

November 16, 1934

Discussion of Code Committee procedures for handling complaints and ensuring compliance

1934_Investment Bankers Code Committees Map

1934

US map showing district boundaries and locations of Code Committee officials

1935_0116_WilburMembers w attachments

January 16, 1935

Monthly report of managing direct of the Code Committee focusing on continuation of the structure after repeal of the National Recovery Act

1935_0117_Report of Managing Director

January 17, 1935

Memo reminding Code Committee members that although the NRA had been repealed, SEC supervision remained

1935_0223_SapersteinWilbur

February 23, 1935

Letter from SEC accompanying suggestions for regulating trading on exchanges

1935_0225_SapersteinWilbur

February 25, 1935

Letter from SEC vowing not to "foreclose discussion" regarding exchange regulation

1935_03_16_BurnsKeyser

March 16, 1935

Request by SEC regarding Code Committee's position on right of rescission

1935_0323_KeyserBurns

March 23, 1935

Letter from Code Committee counsel to SEC counsel regarding segregation of broker and dealer functions

1935_0429_Report of Managing Director

April 29, 1935

Summary of Code Committee activity from March to April 1935

1935_0612_WilburBankers

June 12, 1935

Memo reminding investment bankers that although the NRA had been struck down they remained regulated by the SEC

1935_0613_HostetlerKennedy

June 13, 1935

Code Committee counsel to SEC Chairman enclosing a memo on the registration of investment bankers

1935_0722_Minutes of Code Committee Meeting

July 22, 1935

Minutes of the Code Committee on the possibility of maintaining liaison with the SEC post-NRA

1935_0724_WilburChairmen

July 24, 1935

Memo to Regional Chairmen announcing plan to continue the code organization in another form

1935_0801_Investment Bankers Move to Save Code

August 1, 1935

IBCC press release notes that the SEC and NRA favor “continuance of a self-regulatory” organization

1935_0912_KennedyGriswold w attachments

September 12, 1935

Document containing correspondence between Joseph P. Kennedy and the IBCC chairmen with attachments

1935_0924_ScheffeyMembers

September 24, 1935

Memo enclosing key correspondence regarding the continuance of the Code Committee as a “conference or consulting committee”

1935_0927_ScheffeyMembers

September 27, 1935

Press release upon announcement by Chairman Landis of desire to continue the IBCC in another form

1935_1002_Minutes of Code Committee Meeting

October 2, 1935

Minutes focus on continuing the Code Committee as the Investment Bankers Conference Committee

1935_1010_GriswoldMembers

October 10, 1935

Letter requesting continuation of Code Committee officers in office pending new organization

1935_1012_GriswoldBankers

October 12, 1935

IBCC announces continuation of the organization to all investment bankers and broker dealers

1935_1108_ScheffeyBankers

November 8, 1934

IBCC Director provides details to investment bankers and broker dealers on plans to continue the organization

1935_1108_ScheffeyMembers

November 8, 1935

IBCC Director thanks securities dealers and investment bankers who have registered and reminds those who have not

1936_0110_HansonMembers

January 10, 1936

Letter accompanying draft of constitution for Investment Bankers Conference Committee

1936_0514_Minutes of IBCC Meeting

May 14, 1936

Minutes of IBCC meeting in which it was decided to proceed with creating a new organization

1936_0624_Segregation in the Over-The-Counter Markets

June 25, 1936

Letter and attachment to IBCC members regarding SEC consideration of segregation of broker and dealer functions

1936_0629_GriswoldLandis w attachment

June 29, 1936

IBCC Chairman memo to SEC Chairman on permanent organization with Landis reply attached

1936_0720_FordHanson w attachment

July 20, 1936

Memo from New York Regional Committee listing reservations about the proposed organization

1936_0730_Minutes of Exec Committee Meeting

July 30, 1936

Minutes with Landis statement on a permanent investment bankers organization and IBCC reply attached

1936_0901_NASD Certificate of Incorporation

September 1, 1936

Published booklet also containing by-laws, rules of fair practice, and procedures for handling complaints

1936_0903_GriswoldBankers

September 3, 1936

Memo containing "The Plan" for creation of a new investment bankers group

1936_Statement of SEC Chairman on IBCC w attachments

1936

Landis statement regarding creation of a permanent investment bankers group with reply attached

1937_0108_Progress of Investment Trusts and Companies Study

January 8, 1937

Interim report to legislators on the study of investment trusts and investment companies undertaken as instructed by Congress in the PUHCA

1937_0401_FultonGoverning Committee

April 1, 1937

Letter from IBC Director to governing committee recounting discussions with Commissioner Mathews

1937_0804_Press Release on OTC Rules

August 4, 1937

Extensive press release detailing new SEC rules to define prohibited practices in the OTC market

1937_0908_Memo on Conference and SEC

September 8, 1937

Unattributed letter on the work of the Investment Bankers Conference

1937_1020_FultonGoverning Committee

October 20, 1937

Cover letter and attachment recounting a meeting between Chairman Douglas and the IBC's Howell Griswold.

1938_0104_FultonMembers w attachments

January 14, 1938

Cover letter and submission of Rules of Fair Practice to IBC members

1938_0118_FultonMembers w attachments

January 18, 1938

Cover letter and submission of Francis Maloney's draft Senate Bill 3255

1938_0201_Memo to Governors

February 1, 1938

Investment Bankers Association of America President details member reservations regarding the Maloney Act

1938_0221_FrothinghamMathews

February 21, 1938

Letter from Investment Bankers Association of America to Commissioner Mathews on Maloney Bill

1938_0224_FrothinghamHanes

February 24, 1938

Memo expressing to SEC Investment Bankers Association of America willingness to support the Maloney Bill with changes

1938_0226_FrothinghamGovernors

February 26, 1938

Report of the activities of the Investment Bankers Association of America Special Committee on the Maloney Bill

1938_0601_Over-the Counter-Problems and the Maloney Bill

June 1, 1938

Extensive internal memo to the Commission expressing Trading and Exchange Division reservations about the Maloney Bill

1938_0713_HostetlerHanson

July 13, 1938

Colorful Investment Bankers Conference correspondence regarding SEC Chairman Douglas

1938_0723_Press Release No. 1801

July 23, 1938

SEC press release on investment bankers creation of special committee to coordinate on the Maloney Bill

1938_0824_BigelowPeterson

August 24, 1938

Letter from market participant expressing concern that the new investment bankers organization will be dominated by large houses

1938_0901_KarrGrande

September 1, 1938

Letter from Seattle Regional Administrator on the requirements of the Maloney Bill

1938_1013_Memo of the Reaction of the Commission

October 13, 1938

Summary of SEC responses to particular industry concerns about the Maloney Bill

1938_1028_Aims and Purposes of the Maloney Act

October 28, 1938

Printed version of speeches given by Commissioner Mathews and an advisor to the Commission

1938_1110_FordClark et al

November 10, 1938

A report to major investment bankers regarding discussions between the Investment Bankers Conference and the SEC

1938_Statement and Resolution on the Maloney Bill

1938

Letter detailing Investment Bankers Association of America reservations about the Maloney Bill

1939_03_GriswoldBrokers

March 1938

Draft letter to registered broker dealers including drafts of provisions from creation of the NASD

1939_0223_Joint Letter From SEC and Conference

February 23, 1939

Draft joint SEC Investment Bankers Conference letter welcoming feedback on the Maloney Bill

1939_0301_GriswoldMembers

March 1, 1939

Letter regarding assessments on all members of the Investment Bankers Conference and drafting of NASD provisions

1939_0318_GriswoldMembers

March 18, 1939

Letter recounting SEC investment banker efforts to create a new self-regulatory organization

1939_0420_GriswoldFord

April 20, 1939

Letter from Investment Bankers Conference Chairman to a member regarding final stages in negotiations with the SEC about the NASD

1939_0421_FordGriswold

April 21, 1939

Letter from a member to the Investment Bankers Conference Chairman regarding final stages in negotiations between the SEC and the NASD

1939_0720_FultonMembers

July 20, 1939

NASD Chairman reports on the incorporation and registration of the organization

1939_0807_FultonMembers

August 7, 1939

Bulletin announcing SEC granting registration to the NASD as of this date

1939_0923_StablerHealy w attachments

September 23, 1939

Letter from the New York Herald Tribune financial editor enclosing correspondence between Commissioner Healy and an SEC critic

1941_0310_Informal Discussion of Rule Proposed by IBA and NASD

March 10, 1941

Transcript of an SEC hearing with industry officials regarding competitive bidding and proposed Rule U-12F-2

1942_1020_DewarPurcell

October 20, 1942

Letter from NASD critical of proposed Rule X-15C1-10

1942_1020_Memo re Rule X-15 C1-10

October 20, 1942

A formal memorandum critical of proposed Rule X-15C1-10 and recounting recent NASD initiatives regarding fair practices

1943_AnonymousMaloney

1943

Letter critical of the NASD as being dominated by large firms

1943_Memo on NASD Representation

1943

Anonymous memo rebutting charges that the NASD is dominated by large firms

1945_0614_Summary of SEC Decision in PSI Cases

June 14, 1945

Summary of NASD and SEC position on violations by underwriters of public securities shares

1946_NASD The First Ten Years of its Existence

1946

Internal narrative history of the NASD from 1936 to 1946 with exhibits

1952_0509_Memo on Commission Services

May 9, 1952

Memo on underscoring “special benefits” bestowed by the SEC to market participants at no charge

1953_0902_FultonDemmler

September 2, 1953

NASD Executive Director to Chairman regarding proposed rule revisions

1953_1022_McMurrayCapehart

October 22, 1953

Senate Committee Counsel to Senator Capehart regarding specific proposed SEC rule changes

1954_0125_DemmlerCapehart

January 25, 1954

Chairman to Senator Capehart enclosing a draft bill proposing limited amendments

1954_0810_Press Release on 1954 Amendments

August 10, 1954

SEC press release announcing the signing into law of the 1954 Securities Acts Amendments

1954_1116_Maloney Act Memo w attachments

November 16, 1954

Brief chronological history of the passage of the Maloney Act with exhibits

1956_0820_Release No. 5336 on Rule X-17A-7

August 20, 1956

Press Release No. 5336 on the adoption of Rule X-17A-7 regarding non-resident registered brokers and dealers

1958_0912_Release No. 5774 on Rule 17a-8

September 12, 1958

Press Release No. 5774 regarding notification of proposed Rule 17a-8 regarding transactions involving non-US residents

1962_0519_Is US Securities Inquiry Affecting Investors' Confidence

May 19, 1962

Reprint of *London Times* article discussing the Special Study and its effect on the markets

1962_1220_GrahamHess

December 20, 1962

Letter from a Louisville investment banker to a Portland one critical of the SEC and “centralization” of power in New York

1962_1224_GrahamHarris

December 24, 1962

Letter from a Louisville investment banker to Congressman Oren Harris critical of the SEC

1963_0429_GilleraFulton

April 29, 1963

Memo from NASD staffer forwarding list of NASD cases reviewed by the SEC from 1944 to 1963

1964_0303_Release No. 7253 on Rule 17a-8

March 3, 1964

Press release announcing adoption of Rule 17a-8 requiring exchanges to file reports of proposed rule changes

1965_0115_Release no.7511 on Rule 24b-2(g)

January 15, 1965

Press release announcing amendment of Rule 24b-2(g) and (i) to permit the use of certified mail in registrations

1974_0621_Capitalization of Interest by Companies other than Public Utilities

June 21, 1974

Press Release 33-5505 on planned accounting series release regarding capitalization of interest