SEC Historical Society

Documents Contributed by Elizabeth Krentzman: Key (Our Collection)

Spanning 1972 to 2006, these documents gather SEC staff correspondence, no-action requests, registration guidance, and litigation filings on investment company and adviser regulation. Recurring subjects include mutual fund disclosure and prospectus forms, junk bond holdings, repurchase agreements, soft dollars and ERISA cross-trading, and the Chamber of Commerce v. SEC challenge to the fund governance rule. 42 documents.
A year or month alone means the exact date is unknown.

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

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

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.

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

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

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

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

October 3, 1989
Carolyn B. Lewis to Investment Company Registrant Regarding Investment in High-Yield Bonds

December 22, 1989
Mary S. Podesta to Craig S. Tyle Regarding Disclosure for Junk Bonds

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February 23, 1990
Carolyn B. Lewis to Matthew Fink Regarding Requirements for Funds Investing in Junk Bonds

May 7, 1990
Richard L. Gregg to Robert Plotkin on Hold-in-Custody Repo Requirements

August 29, 1990
Ronald H. Hoenig to Richard Ketchum Requesting Clarification on SEC Rule 28 (e)

October 15, 1990
Richard Ketchum to Ronald H. Hoenig on Availability of Section 28 (e) for Certain Principal Transactions

November 10, 1992
Stuart Strauss to the Division of Investment Management Office of Chief Counsel Regarding Interpretation of Rule 20a-1(a)

November 18, 1992
Julia S. Ulstrup to the Division of Investment Management Office of Chief Counsel Regarding Dean Witter Value Fund

February 24, 1993
Paul K. Robertson to Thomas Harman Regarding United Services Funds No-Action Request

April 23, 1993
Jana M. Cayne to Division of Investment Management Office of Chief Counsel Regarding United Services Funds

1995
Consent Decree Against Peter S. Alsop

November 3, 1995
Brenda D. Sneed to Registrants Providing Guidance to Insurance Filers

November 7, 1996
Susan Nash to Registrant Providing Guidance to Insurance Company Registrants

August 1, 1997
Consent of Peter S. Alsop

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November 13, 1997
Report of the Working Group on Soft Dollars/Commission Recapture

May 28, 1998
Robert J. Doyle to William Tartikoff on ERISA Fiduciary Responsibility Rules

January 14, 1999
Tamara K. Reed to Jonathan G. Katz on Proposed Rule 202(a)(11)-1

July 10, 2000
Walters, Tyle, Barr, and Kaswell to Ivan Strasfeld Supporting Cross-Trading Exemption from Section 406(b)(2) of ERISA

April 9, 2001
Robert Plaze to Craig S. Tyle Regarding Guidance on Regulation S-P

September 24, 2001
Salvatore Pallante to All NYSE Members Regarding Bush Executive Order Targeting Terrorists

2002
SEC Memo on Proposed Rule Change to Adopt New Rule 3011

January 14, 2002
Amy Lancellotta to Jonathan Katz Regarding Actively Managed Exchange-Traded Funds

September 3, 2003
Complaint: State of New York v. Canary Capital Partners

September 2, 2004
Complaint: Chamber of Commerce v. SEC

June 27, 2005
Elizabeth R. Krentzman to Jonathan Katz Regarding Investment Company Governance

July 7, 2005
Petition for Review: Chamber of Commerce v. SEC

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August 5, 2005
Response of Securities and Exchange Commission in Opposition to Motion for Stay of Commission Order in Chamber of Commerce v. SEC

August 10, 2005
US Court of Appeals Order in Chamber of Commerce v. SEC

August 25, 2005
Petitioner's Certificate as to Parties, Rulings, and Related Cases

August 25, 2005
Petitioner's Statement Regarding Use of Deferred Appendix in Chamber of Commerce v. SEC

September 21, 2005
Petitioner's Preliminary Statement of Issues to be Raised in Chamber of Commerce v. SEC

January 6, 2006
Brief of the Securities and Exchange Commission, Respondent in Chamber of Commerce v. SEC

January 6, 2006
Initial Brief of Oral Argument in Chamber of Commerce v. SEC

February 2006
TBMA Policy Brief: "Cross Trading will Improve Returns for Private Pension Plan Participants"

March 7, 2006
Amended Memorandum of Decision in Haddock v. Nationwide Financial Services