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U.S. SECURITIES AND  
EXCHANGE COMMISSION

# sec news digest

Issue 90-127

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## COMMISSION ANNOUNCEMENTS

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### 1989 LOST AND STOLEN SECURITIES PROGRAM STATISTICS AVAILABLE

The 1989 aggregate dollar value of certificates reported as lost, stolen, missing, or counterfeit under the Commission's Lost and Stolen Securities Program (Program) totalled \$2,136,398,027, a 26% decline from 1988. The data base, operated by the Securities Information Center (SIC), currently contains information on certificates with a reported value of approximately \$16.6 billion. There was a 59% increase in the number of certificates inquired about that matched reports of lost, stolen, missing, or counterfeit securities, from 2,178 in 1988 to 5,298 in 1989. The dollar value of lost, stolen, missing, and counterfeit securities matched with inquiries through the Commission's Program in 1989 totalled \$10,681,680, a slight increase from the 1988 total of \$10,679,142.

FOR FURTHER INFORMATION CONTACT: Thomas C. Etter, Jr. at (202) 272-3116

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## ADMINISTRATIVE PROCEEDINGS

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### PROCEEDINGS INSTITUTED AND SETTLED AGAINST GOODRICH SECURITIES, OTHERS

The Commission issued an Order Instituting Administrative Proceedings under the Securities Exchange Act, Sections 15(b) and 19(h) against Goodrich Securities, Inc., a registered broker-dealer located in New York City, and John K. Goodrich (Goodrich), its president. The Order finds that they failed to supervise James Blair, a part-time registered representative employed by Goodrich Securities, with a view to preventing violations of the securities laws. From 1984 through 1986, Blair operated Financial Selected Services (FSS), a registered investment adviser based in Santa Barbara, California. FSS provided marketing training services to investment advisers which placed trades through Goodrich Securities' clearing firm for the credit of Goodrich Securities and Blair. The services FSS provided in exchange for these soft dollar payments were outside the safe harbor of Exchange Act Section 28(e). The Commission has determined to accept Goodrich Securities' and Goodrich's Offer of Settlement in which they neither admit nor deny the Commission's findings and consent to be censured. Goodrich Securities also consents to, within 90 days of the Order, review, revise and implement any supervisory and compliance policies and procedures to ensure the adequate supervision of registered representatives, and to file an affidavit of compliance with the Commission's Los Angeles Regional Office. (Rel. 34-28141)

## INVESTORS PORTFOLIO MANAGEMENT, INC. REGISTRATION REVOKED

The Commission has revoked the investment adviser registration of Investors Portfolio Management, Inc. (IPM) of Pompano Beach, Florida. During the period, September 1984 through September 1985, IPM was adviser to California Muni Fund (Fund), a registered investment company. The Commission found that IPM violated antifraud provisions by misrepresenting the yield on Fund shares and the tax exempt status of Fund dividends. The Commission also found that IPM aided and abetted Fund's violations of Investment Company Act provisions that prohibit an investment company from (1) violating its stated investment policies, (2) effecting the sale and redemption of shares at prices that do not reflect their current net asset value, (3) failing to maintain proper records, and (4) paying for distribution expenses that are not covered by a written agreement.

The Commission concluded that, in light of IPM's serious misconduct, its record of prior violations, and the fact that a prior Commission disciplinary action did not prevent it from quickly engaging in the same kind of misconduct, revocation of IPM's registration was required for the protection of public investors. (Rel. IA-1236)

## PLAN FOR DISTRIBUTION FILED IN SEC V. WANG AND LEE

On July 2, the Commission filed in U.S. District Court for the Southern District of New York a Proposed Plan for Distribution of Disgorged Assets in SEC v. Wang and Lee, pursuant to which over \$19 million in trading profits will be distributed to investors allegedly defrauded by the defendants in this action. On June 27, 1988, the Commission filed a complaint alleging that defendants Stephen Sui-Kuan Wang, Jr. (Wang) and Fred C. Lee, a/k/a Chwan Hong Lee (Lee), had violated the antifraud and tender offer provisions of the federal securities laws by trading in the securities of at least 25 issuers while in possession of material nonpublic information Wang had misappropriated from Morgan Stanley & Co., Incorporated. The Commission further alleged that Lee, a Taiwanese national, conducted the trading in securities brokerage accounts maintained in the names of at least 33 persons.

Pursuant to settlements with both defendants, the Commission received full disgorgement of their allegedly illegal trading profits, an amount in excess of \$19 million dollars. Under the proposed plan filed today, those funds will be distributed to investors who sold the securities on the same day(s) as the defendants purchased such securities. [SEC v. Wang and Lee, 88 Civ. 4461 (RO)] (LR-12529).

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## CIVIL PROCEEDINGS

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### OIL AND GAS PROMOTER ENJOINED

The Fort Worth Regional Office filed a Complaint against Thomas Hydrocarbons, Inc. (THI) and its president and founder, Jack B. Thomas. The Complaint charges both defendants with violations of the securities registration and antifraud provisions of the federal securities laws in connection with sales of \$8.5 million in unregistered oil and gas interests to more than 500 investors for the drilling of at least 54 wells. The Complaint further alleges that offering documents and oral sales presentations utilized to market the interests were replete with misrepresentations

and omissions of material facts concerning, among other things, the risks of the investment, use of proceeds, success of prior offerings, expected pay back and the poor financial condition of THI.

Simultaneously with the filing of the action, THI, without admitting or denying the allegations of the Complaint, consented to the entry of a permanent injunction against future violations. The action is pending against Jack B. Thomas, against whom the Commission is seeking a permanent injunction and disgorgement. [SEC v. Thomas Hydrocarbons, Inc., et al., USDC/NDTX (Fort Worth Division), Civil Action No. 90-467 K] (LR-12524)

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## INVESTMENT COMPANY ACT RELEASES

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### MACKENZIE FINANCIAL CORPORATION

A temporary order and a notice have been issued giving interested persons until July 24 to request a hearing on an application filed by Mackenzie Financial Corporation and Mackenzie Investment Management Inc. (Applicants) under Section 9(c) of the Investment Company Act for a permanent order exempting applicants from the provisions of Section 9(a) of such Act to the extent necessary to allow Applicants and their future affiliates to provide investment advisory and distribution services to registered investment companies. Absent such an exemptive order, Section 9(a) would prevent Applicants and their future affiliates from engaging in certain investment company businesses due to a Canadian Order entered against Applicants on June 28, 1990. A temporary order exempting Applicants from Section 9(a) has been granted by delegated authority until August 27, 1990 allowing the Commission to proceed with the orderly consideration of the application for a permanent order. (Rel. IC-17554 - June 28)

### TEMPLETON, GALBRAITH & HANSBERGER LTD.

A temporary order and a notice have been issued giving interested persons until July 24 to request a hearing on an application filed by Templeton, Galbraith & Hansberger Ltd., Templeton Management Limited, Templeton Investment Counsel, Inc., Templeton Investment Counsel Limited, John Templeton Counselors, Inc., Templeton Funds Distributor, Inc., and Templeton Funds Annuity Company (collectively, Applicants) under Section 9(c) of the Investment Company Act for a permanent order exempting Applicants from the provisions of Section 9(a) of such Act to the extent necessary to allow Applicants and future affiliates of Applicants to act as depositor for, and to provide investment advisory and distribution services to, registered investment companies, or to act as principal underwriter for registered unit investment trusts or registered face amount certificate companies. Absent such an exemptive order, Section 9(a) would prevent Applicants and their future affiliates from engaging in certain investment company businesses due to a Canadian Order entered against Applicants on June 28, 1990. A temporary order exempting Applicants from Section 9(a) has been granted by delegated authority under August 27, 1990, allowing the Commission to proceed with the orderly consideration of the application for a permanent order. (Rel. IC-17555 - June 28)

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## HOLDING COMPANY ACT RELEASES

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### THE SOUTHERN COMPANY

An order has been issued authorizing a proposal by The Southern Company (Southern), whereby Southern requests an extension of time, until June 30, 1992, in which it may issue and sell up to 50,000 shares of its common stock, (\$5 par), under an exception from competitive bidding, to fund the Profit Sharing Plan of Electric City Merchandise Company, Inc., an indirect subsidiary of Southern. (Rel. 35-25107)

### GENERAL PUBLIC UTILITIES CORPORATION

An order has been issued authorizing a proposal by General Public Utilities Corporation (GPU), General Portfolios Corporation (GPC), a subsidiary of GPU, and Energy Initiatives, Incorporated (EII), a subsidiary of GPC, whereby EII will engage in preliminary project development and administrative activities in connection with: (1) qualifying cogeneration facilities and qualifying small power production facilities; and (2) load management and energy storage system projects. GPU and GPC propose to make investments in EII through December 31, 1992, in an aggregate amount of up to \$60 million, in the form of: (1) capital contributions; and (2) unsecured borrowings by GPC from commercial banks, insurance companies and other institutional lenders. GPC further proposes to organize and acquire for \$1,000 all of the common stock of a new subsidiary, Fuels Corp. EII further proposes to change its state of incorporation to Delaware by a statutory merger of EII and a newly formed Delaware corporation which would be a wholly owned subsidiary of GPC. (Rel. 35-25108)

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## SECURITIES ACT REGISTRATIONS

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The following registration statements have been filed with the SEC under the Securities Act of 1933. The reported information appears as follows: Form, Name, Address and Phone Number (if available) of the issuer of the security; Title and the number and/or face amount of the securities being offered; Name of the managing underwriter or depositor (if applicable); File number and date filed; Assigned Branch; and a designation if the statement is a New Issue.

- S-3 GALACTIC RESOURCES LTD, #935 - 355 BURRARD ST, VANCOUVER B C CANADA V6C 2G8, A1 (604) 687-7169 (FILE 33-35420 - JUN. 14) (BR. 1)
- S-8 GREEN A P INDUSTRIES INC, GREEN BLVD, MEXICO, MO 65265 (314) 473-3626 - 260,000 (\$7,475,000) COMMON STOCK. (FILE 33-35475 - JUN. 22) (BR. 10)
- S-8 CABOT OIL & GAS CORP, 15375 MEMORIAL DR, HOUSTON, TX 77079 (713) 589-4600 - 1,030,000 (\$17,059,375) COMMON STOCK. (FILE 33-35476 - JUN. 25) (BR. 3)
- S-1 RELIANCE ELECTRIC CO/DE, 6065 PARKLAND BLVD, CLEVELAND, OH 44124 (216) 266-5800 - 6,000,000 (\$6,000,000) STRAIGHT BONDS. 600,000 (\$6,525,000) PREFERRED STOCK. (FILE 33-35477 - JUN. 25) (BR. 8)
- S-8 NETWORK SYSTEMS CORP, 7600 BOONE AVE NORTH, MINNEAPOLIS, MN 55428 (612) 424-4888 - 120,000 (\$1,785,000) COMMON STOCK. (FILE 33-35478 - JUN. 25) (BR. 10)
- S-8 LASER PHOTONICS INC, 12351 RESEARCH PWY, ORLANDO, FL 32826 (407) 281-4103 - 1,000,000 (\$2,280,000) COMMON STOCK. 57,800 (\$131,784) COMMON STOCK. (FILE 33-35479 - JUN. 25) (BR. 8)
- S-4 OLD NATIONAL BANCORP, 420 MAIN ST, EVANSVILLE, IN 47708 (812) 464-1200 - 700,000 (\$9,609,000) COMMON STOCK. (FILE 33-35481 - JUN. 25) (BR. 1)

REGISTRATIONS CONT.

- F-6 GRUPO SYNKRO SA DE CV, NY - 50,000,000 (\$5,000,000)  
DEPOSITARY RECEIPTS FOR COMMON STOCK. (FILE 33-35482 - JUN. 22) (BR. 99 - NEW ISSUE)
- N-2 ISRAEL CAPITAL FUND INC, ONE CITICORP CENTER 58TH FLOOR, 153 EAST 53RD STREET,  
NEW YORK, NY 10022 (212) 832-2626 - 5,750,000 (\$69,000,000) COMMON STOCK. (FILE  
33-35523 - JUN. 21) (BR. 17 - NEW ISSUE)
- S-1 EASEL CORP, 600 WEST CUMMINGS PARK, WOBURN, MA 01801 (617) 938-8440 - 850,000  
(\$9,350,000) COMMON STOCK. 1,277,500 (\$14,052,500) COMMON STOCK. UNDERWRITER:  
DONALDSON LUFKIN & JENRETTE SECURITIES, ROBERTSON STEPHENS & CO. (FILE 33-35530 -  
JUN. 21) (BR. 9 - NEW ISSUE)
- S-4 OLD NATIONAL BANCORP, 420 MAIN ST, EVANSVILLE, IN 47708 (812) 464-1200 - 428,207  
(\$5,597,636) COMMON STOCK. (FILE 33-35536 - JUN. 22) (BR. 1)
- S-1 CONNER PERIPHERALS INC, 3081 ZANKER RD, SAN JOSE, CA 95134 (408) 433-3340 -  
7,187,500 (\$175,195,313) COMMON STOCK. (FILE 33-35539 - JUN. 22) (BR. 9)
- S-3 MALARTIC HYGRADE GOLD MINES CANADA LTD, 1 DUNDAS ST WEST, BOX 13 STE 2402,  
TORONTO ONTARIO CANADA M5G 1Z3, A6 (416) 977-4653 - 400,000 (\$2,600,000)  
FOREIGN COMMON STOCK. 200,000 (\$1,300,000) WARRANTS, OPTIONS OR RIGHTS. 200,000  
COMMON STOCK. (FILE 33-35540 - JUN. 22) (BR. 2)
- N-1A DEAN WITTER PACIFIC GROWTH FUND INC, TWO WORLD TRADE CENTER, NEW YORK, NY 10048  
(212) 392-1600 - INDEFINITE SHARES. (FILE 33-35541 - JUN. 22) (BR. 16 - NEW ISSUE)
- S-8 THORATEC LABORATORIES CORP, 2023 EIGHTH ST, BERKELEY, CA 94710 (415) 841-1213 -  
1,995,499 (\$673,971.66) COMMON STOCK. (FILE 33-35549 - JUN. 22) (BR. 8)
- S-1 MARINE HOLDING CO, 500 N WATER ST, 1000 SOUTH TOWER M BANK CENTER, CORPUS CHRISTI,  
TX 78471 (512) 884-8851 - 4,100,000 (\$28,443,750) COMMON STOCK. (FILE 33-35551 -  
JUN. 22) (BR. 3)
- S-8 GNW FINANCIAL CORP, 500 PACIFIC AVE, BREMERTON, WA 98310 (206) 479-1551 - 240,000  
(\$240,000) OTHER SECURITIES INCLUDING VOTING TRUST. (FILE 33-35553 - JUN. 22) (BR. 1)
- S-3 OMNICOM GROUP INC, 437 MADISON AVE, NEW YORK, NY 10022 (212) 415-3600 - 10,000  
(\$261,250) COMMON STOCK. (FILE 33-35554 - JUN. 22) (BR. 5)
- S-1 COASTAL FINANCIAL CORP, 2619 NORTH OAK STREET, MYRTLE BEACH, SC 29577 (803) 448-5151  
- 760,437 (\$7,604,370) COMMON STOCK. (FILE 33-35555 - JUN. 22) (BR. 12)
- S-1 MESA AIRLINES INC, 2325 EAST 30TH STREET, FARMINGTON, NM 87401 (505) 327-0271 -  
2,300,000 (\$18,687,500) COMMON STOCK. (FILE 33-35556 - JUN. 22) (BR. 3)
- S-3 STERLING BANCORP, 540 MADISON AVE, NEW YORK, NY 10022 (212) 826-8000 - 15,000,000  
(\$15,000,000) FLOATING RATE NOTES. (FILE 33-35557 - JUN. 25) (BR. 1)
- S-8 BANCSHARES 2000 INC, 8201 GREENSBORO DR, MCLEAN, VA 22102 (703) 790-3455 - 225,513  
(\$868,225.75) COMMON STOCK. (FILE 33-35558 - JUN. 22) (BR. 1)
- S-8 ASSOCIATED BANC CORP, 222 CHERRY ST, GREEN BAY, WI 54301 (414) 433-3166 - 442,000  
(\$9,724,000) COMMON STOCK. (FILE 33-35560 - JUN. 25) (BR. 1)
- S-8 DREYERS GRAND ICE CREAM INC, 5929 COLLEGE AVE, OAKLAND, CA 94618 (415) 652-8187 -  
305,134 (\$11,595,092) COMMON STOCK. (FILE 33-35561 - JUN. 25) (BR. 4)
- S-3 MAXTOR CORP, 211 RIVER OAKS PKWY, SAN JOSE, CA 95134 (408) 432-1700 - 1,500,000  
(\$21,279,000) COMMON STOCK. (FILE 33-35563 - JUN. 25) (BR. 9)
- S-1 SEARS RECEIVABLES FINANCING GROUP INC, 3711 KENNETT PIKE, GREENVILLE, DE 19807  
(302) 888-3176 - 250,000,000 (\$250,000,000) PASS-THROUGH MORTGAGE-BACKED CERTIFICATE.  
(FILE 33-35564 - JUN. 25) (BR. 11)
- S-8 MAGMA COPPER CO, PO BOX M, SAN MANUEL, AZ 85631 (602) 385-3100 - 2,000,000  
(\$9,620,000) COMMON STOCK. (FILE 33-35566 - JUN. 25) (BR. 6)
- S-8 CPAC INC, 2364 LEICESTER RD, LEICESTER, NY 14481 (716) 382-3223 - 150,000  
(\$1,171,500) COMMON STOCK. (FILE 33-35568 - JUN. 25) (BR. 9)

REGISTRATIONS CONT.

- S-8 MAGMA COPPER CO, PO BOX M, SAN MANUEL, AZ 85681 (602) 395-3100 - 100,000 (\$481,000) COMMON STOCK. (FILE 88-35569 - JUN. 25) (BR. 6)
- S-8 CARE PLUS INC, 6700 N ANDREWS AVE STE 700, FT LAUDERDALE, FL 33809 (305) 493-6464 - 155,000 (\$2,538,125) COMMON STOCK. (FILE 88-35570 - JUN. 25) (BR. 6)
- S-8 TRANSGENIC SCIENCES INC, 57 UNION STREET, WORCESTER, MA 01608 (508) 791-0931 - 800,000 (\$2,600,000) COMMON STOCK. (FILE 88-35571 - JUN. 25) (BR. 8)

**ACQUISITION OF SECURITIES**

Companies and individuals must report to the Commission within ten days on Schedule 13D if after the acquisition of equity securities of a public company their beneficial interest therein exceeds five percent. Persons eligible to use the short form (Schedule 13G) may in lieu of filing a Schedule 13D file a Schedule 13G within 45 days after the end of the calendar year in which the person became subject to Section 13(d)(1). Companies and individuals making a tender offer must have on file at the time the tender offer commences a Schedule 14D-1.

Below is a list of recent filings of Schedules 13D and 14D, which includes the following information: Column 1 - the company purchased (top), and the name of the purchaser; Column 2 - the type of security purchased; Column 3 - the type of form filed; Column 4 - the date the transaction occurred; Column 5 - the current number of shares (in 000's) owned (top) and the current percent owned; Column 6 - the CUSIP number (top) and the percent owned; and Column 7 - the status of the filing, i.e., new, update or revision.

NAME AND CLASS OF STOCK/OWNER	FORM	EVENT DATE	SHRS(000)/ \$OWNED	CUSIP/ PRIOR%	FILING STATUS
ALPHA INDS INC SCIENTIFIC COMPONENTS ET AL	COM 13D	6/25/90	1,541 21.5	02075310 13.7	UPDATE
ATTENTION MED CO KOHL ATLEE M ET AL	COM 13D	6/15/90	9,438 86.7	04972610 84.5	UPDATE
CENTRAL SPRINKLER CORP STATE OF WISCONSIN INVEST BD	COM 13D	6/19/90	415 8.1	15518410 0.0	NEW
COBB RES CORP GOLDEN OIL CO	COM 13D	6/18/90	967 14.4	19088310 0.0	NEW
DS BANCOR INC MONACO MAUREEN	COM 13D	6/22/90	96 4.4	23290710 0.0	NEW
DALLAS OIL & MINERALS INC LOMAK PETROLEUM ET AL	COM PAR \$0.02 13D	6/18/90	3,809 39.3	23513620 39.3	UPDATE
DEKALB ENERGY CO ROBERTS THOMAS H III	CL A 13D	6/26/90	189 7.2	24487420 6.1	UPDATE
DEKALB GENETICS CORP ROBERTS THOMAS H JR	COM CL A 13D	6/26/90	242 18.1	24487810 20.3	UPDATE
DEKALB GENETICS CORP ROBERTS THOMAS H III	COM CL A 13D	6/26/90	95 7.1	24487810 6.0	UPDATE

## RECENT 8K FILINGS

Form 8-K is used by companies to file current reports on the following events:

- Item 1. Changes in Control of Registrant.
- Item 2. Acquisition or Disposition of Assets.
- Item 3. Bankruptcy or Receivership.
- Item 4. Changes in Registrant's Certifying Accountant.
- Item 5. Other Materially Important Events.
- Item 6. Resignations of Registrant's Directors.
- Item 7. Financial Statements and Exhibits.

The companies listed below have filed 8-K reports for the date indicated and/or amendments to 8-K reports previously filed, responding to the item(s) of the form specified. Copies of the reports may be purchased from the Commission's Public Reference Room (when ordering, please give the date of the report). An invoice will be included with the requested material when mailed.

NAME OF ISSUER	STATE CODE	8K ITEM NO.								DATE	COMMENT
		1	2	3	4	5	6	7	8		
AMERICAN REAL ESTATE PARTNERS L P	DE				X					06/18/90	
BANK OF NEW ENGLAND WEST NA					X					06/15/90	
BULL RUN GOLD MINES LTD	WA				X					06/15/90	
BUTLER MANUFACTURING CO	DE				X		X			06/19/90	
C&K 1980 FUND A LTD	TX			X			X			06/21/90	
C&K 1981 FUND A LTD	TX			X			X			06/21/90	
C&K 1981 FUND B LTD	TX			X			X			06/21/90	
CAROLCO PICTURES INC	DE				X					05/15/90	
CENTURY MEDICORP	CA						X			04/30/90	
COMBINED ASSETS INC	DE				X					06/06/90	
CORTLAND BANCORP INC	OH				X					05/31/90	
CRAWFORD & CO	GA				X					06/26/90	
DOMINGUEZ WATER CORP	CA						X			06/12/90	
EASTLAND FINANCIAL CORP/RI/	RI				X					06/27/90	
FIREMANS FUND MORTGAGE CORP	DE						X			06/25/90	
FIRST CENTRAL FINANCIAL CORP	NY				X					06/13/90	
FOOTHILL GROUP INC	DE						X			06/27/90	
GREAT BAY BANKSHARES INC	NH			X			X			06/27/90	
GUARDSMAN PRODUCTS INC	DE				X		X			06/22/90	
HJELMS JIM PRIVATE COLLECTION LTD /DE/	DE				X					05/29/90	AMEND
HUNTINGDON INTERNATIONAL HOLDINGS PLC		X		X		X				06/13/90	
INDEPENDENT BANK CORP /MA/	MA				X					06/14/90	
JOHNSTON COCA COLA BOTTLING GROUP INC	DE	X					X			06/22/90	
KELLY MOTORS LTD	CO						X			04/09/90	AMEND
MIDLANTIC 1990 A AUTOMOBILE GRANTOR TRUS					X		X			06/15/90	
NATIONAL MEDIA HOLDING CO INC	CO	X					X			05/15/90	
NCNB CORP	NC				X		X			06/01/90	
NELSON L B CORP	CA				X					06/28/90	
NORTH LILY MINING CO	UT				X		X			06/28/90	
NORTHERN TRUST CORP	DE				X		X			06/12/90	
NORTHWEST ACQUISITIONS INC/NN/	NN				X					06/19/90	
NORTHWEST NATURAL GAS CO	OR				X		X			06/26/90	
PEOPLES HERITAGE FINANCIAL GROUP INC	ME				X		X			06/27/90	
RYDER SYSTEM INC	FL				X		X			06/22/90	
SIERRA CAPITAL REALTY TRUST VIII CO	ND				X		X			06/14/90	
SPHINX MINING INC					X					05/04/90	
UNIVERSITY GRAPHICS INC	NJ				X					03/30/90	
VELCO 1988 A GRANTOR TRUST					X		X			05/15/90	
WAHLCO ENVIRONMENTAL SYSTEMS INC	DE				X					06/12/90	
WESTERN FEDERAL SAVINGS & LOAN ASSOCIATI					X		X			06/21/90	
WORLD CONTAINER CORP	NN				X					06/18/90	
Y&A GROUP INC	DE	X					X			06/14/90	

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## SEC PUBLIC INFORMATION NUMBERS

Members of the public seeking information and/or material from the Commission continue to complain of being incorrectly referred to the wrong telephone number by Commission staff. The following information is furnished to assist you in directly calling the appropriate office:

Consumer Affairs (202-272-7440): Investor inquiries and complaint processing information.

Freedom of Information Branch (202-272-7420): Requests concerning FOIA, Privacy Act, Sunshine Act, confidential treatment matters, etc.

Personnel Locator (202-272-2550): Requests for names and phone numbers of Commission personnel.

Public Affairs (202-272-2650): Information about matters in the SEC News Digest, the Commission's operations, and calls from the press not directed to particular individuals, and other related matters.

Public Reference (202-272-7450): Requests for information on whether or not a document has been filed, etc.

Publications Unit (202-272-7460/7461): Requests for forms, studies, directories, etc.

Office of the Secretary (202-272-2600): Requests for information on the Commission calendar.

SEC Information Line (202-272-3100/5624): General information about SEC operations and activities through a series of recorded messages.