



George Bush Presidential Library

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Inventory for FOIA Request 2015-0316-F

Records on the Securities and Exchange Commission and the Securities Investor Protection Corporation

Extent

102 folders

Access

Collection is open to all researchers. Access to Bush Presidential Records, Bush Vice Presidential Records, and Quayle Vice Presidential Records is governed by the Freedom of Information Act (FOIA)(5 USC 552 as amended) and the Presidential Records Act (PRA)(44 USC 22) and therefore records may be restricted in whole or in part in accordance with legal exemptions.

Copyright

Documents in this collection that were prepared by officials of the United States government as part of their official duties are in the public domain. Researchers are advised to consult the copyright law of the United States (Title 17, USC) which governs the making of photocopies or other reproductions of copyrighted material.

Provenance

Official records of George Bush's presidency and vice presidency are housed at the George Bush Presidential Library and administered by the National Archives and Records Administration (NARA) under the provisions of the Presidential Records Act (PRA).

Processed By

Staff Archivists, June 2015. Previously restricted materials are added as they are released.

System of Arrangement

Records that are responsive to this FOIA request were found in four collection areas—Bush Presidential Records: WHORM Subject Files; Bush Presidential Records: Staff and Office Files; Bush Vice Presidential Records: Staff and Office Files; and Quayle Vice Presidential Records: Staff and Office Files. As policy, WHORM Subject Files are processed at the document level. Staff and Office Files are processed at the folder level, that is, individual documents are not selected and removed from a folder for processing. While this method maintains folder integrity, it frequently results in the incidental processing of

documents that are not wholly responsive to the subject area.

The WHORM Subject File compiled by the White House Office of Records Management is comprised of a series of documents assigned a letter/number combination and filed in a subject category. A complete listing of the subject categories including a detailed description of each category is available in our research room and on our website at <http://bushlibrary.tamu.edu/research/find/whorm/whorm.html>.

Related Collections

Related material may be found in FOIA request 1998-0252-F entitled "Ethics Legislation and Internal Administration Ethics Issues", 1998-0255-F entitled "Heritage Foundation, CATO Institute, Hoover Institute, and the Council on Foreign Relations", 2009-1293-F entitled "United Kingdom", and 2013-0068-F entitled "Banks/Bankers (Selected Files)".

Scope and Content

The materials in FOIA 2015-0316-F are a selective, not necessarily all inclusive, body of documents responsive to the topic of the FOIA. Researchers should consult the archivist about related materials.

FOIA 2015-0316-F contains materials from agencies and individuals related to the Securities and Exchange Commission (SEC) and the Securities Investor Protection Corporation (SIPC). The SEC is an agency of the federal government. It regulates trading in securities on the national securities exchanges, broker-dealers, and mutual funds. Essentially, it controls the stock market to ensure that the securities market functions in a fair and efficient manner. This regulation provides investors with the confidence that the market functions properly. The Securities Investor Protection Corporation is a nonprofit, membership entity comprised of most US-registered broker-dealers. It is designed to protect the customers of brokers or dealers from loss in case of financial failure of the member.

The Bush Presidential White House Office of Records Management (WHORM) Subject File categories and Staff and Office Files contain correspondence tracking coversheets, questionnaires, personal data statements, letters, memoranda, printed materials, news releases, papers, publications, and statements. These documents address SEC membership, proxy rule reform, shareholder rights, proposed legislative actions, SEC requirements and responsibilities, hybrid financial instruments, the National Association of Securities Professionals, bank rules, and executive compensation issues. Other topics include a public utility industry call for comments, proposed shareholder proxy rules changes, temporary risk assessment rules, regulatory reform initiatives, the administration's policy regarding proposed futures trading practices, promotion of small business capital formation, corporate governance, and investment advisor supervision. Publications are "Budget Estimate Fiscal 1991", Senate and House Congressional Records covering discussion of the "Non-Vessel Operating Common Carrier Amendments of 1990", 'Regulatory Reform Initiatives of the Securities and Exchange Commission', Securities Investor Protection Corporation Annual Report 1989, 1990, & 1991', and 'Second Annual International Institute for Securities Market Development.'

The Bush Vice Presidential Staff and Office Files contain a correspondence tracking coversheet, regulation review requests, and speaking request letters, a memorandum, printed materials, a news release, papers, publications, a list, and statements. These documents cover VP Bush's acceptance to speak at an SEC Major Issues Conference, commentary on a paper about regulatory burdens, the existing system of Federal regulation of financial institutions and services, the "one-share one-vote" issue, corporate takeover regulations, repeal of the Public Utility Holding Company Act, reporting thresholds for institutional investment managers, a proposal to merge the SEC and the Commodity Futures Trading Commission, and tender offer reform proposals. Also addressed are securities markets, insider trading, banking deregulation, over-the-counter stock market topics, President Reagan's nomination of an SEC member, advance clearance procedures of proxy rules, a private citizen's speech about the Foreign Corrupt Practices Act of 1977, corporate recordkeeping for securities transactions, amendments to the Investment Company Act of 1940, a study of an SEC rule that allows a company to register all securities

it plans to issue over a two-year period and then sell some or all whenever it chooses, and a significant regulatory relief achievements report. Lastly, there is also information on testimony concerning repeal of the Public Utility Holding Company Act, self-regulatory organizations, Vice President Bush's remarks at the SEC 1984 Major Issues Conference Dinner, mortgage backed securities, and the Bush Task Group Securities and Exchange Commission staff participants. Publications are "SEC Conference on Major Issues Confronting the Nation's Financial Institutions and Markets in the 1980's Proceedings", "Securities and Exchange Commission Annual Report 1983", and "SEC Advisory Committee on Tender Offers -- Report on Recommendations".

The Quayle Vice Presidential Staff and Office Files contain letters, a memorandum, printed material, papers, and statements. Topics discussed include corporate governance, antifraud legislation, uniform statute of limitations for private actions brought under the SEC Act of 1934 plus a copy of S. 1533, executive compensation, complaints about the SEC, concerns about various financial transactions, and valuation and disclosure of stock options, and class action securities fraud lawsuits. Other materials cover a draft of legislation regarding attorney contingency fees, study of securities fraud class action lawsuits, the administration's stance on deposit insurance reform and taxpayer protection legislation, statutes of limitation for implied private rights of action and SEC Chairman Richard Breeden's remarks on limiting the cost of securities litigation.

The following is a list of documents and folders processed in response to FOIA 2015-0316-F.

Bush Presidential Records: WHORM Subject Files

Category	Case Number
FG249	Scanned: Case Numbers 001561, 004735, 008998, 015760CU, 018716, 019153, 019191, 020256CU, 021074CU, 021790CU, 023955CU, 025136CU, 025283, 028248CU, 029466, 031772CU, 031774, 032146CU, 032158CU, 032821CU, 033300CU, 036849CU, 037032, 037032CU, 039210CU, 039776CU, 040364CU, 042111, 042866CU, 042869CU, 045475, 049208, 053397, 053548, 056035CU, 056044CU, 056551CU, 057457, 061006, 062672, 063558, 065255, 070545CU, 073170, 073681, 074906, 075455, 078311SS, 080718SS, 082898CU, 085566CU, 085632, 086322, 088633SS, 089661, 090762, 104152SS, 104175SS, 105617, 108805SS, 129128, 131329, 132169, 140271CU, 142631, 153714CU, 154163SS, 155751CU, 157944CU, 169340, 174020SS, 193494, 193511, 194657CU, 220932CU, 221955, 230405CU, 242057, 242076CU, 249318, 252310, 258965, 259144, 259543SS, 260390CU, 265065CU, 268621, 268705, 269320, 274767, 275051CU, 275663CU, 275775, 279717SS, 279900CU, 280391CU, 283089, 293792, 294200CU, 309257CU, 309295CU, 309320CU, 309451CU, 313195CU, 314294, 317913CU, 317913, 318966, 319830CU, 319838CU, 321920, 322014CU, 322253CU, 322479, 322715, 322782, 322832, 322938, 323356, 323378, 323697, 324092CU, 324329, 325189, 325271, 325515CU, 325594, 325769, 325876, 326878, 327431, 327995, 329418, 332875, 334503, 334833SS, 335059SS, 335369CU, 346040SS, 351610, 357414CU, 358614, 364771
FG249	Unscanned: Case Numbers 005498, 013673, 019153, 020203, 025283, 026901, 027398, 029080, 029466, 031774, 033250, 037032, 038333, 039770, 042111, 047564, 049208, 049539, 051930, 053397, 053548, 054273, 055991, 057457, 057611, 058520, 061231, 065429, 071029, 071700, 072848, 075166, 078042, 086322, 086387, 088417, 090421, 097116CU, 109930CU, 112089CU, 117597SS, 127500, 128074CU, 129036, 129128, 131329, 132340, 326457, 355455CU
FG250	Scanned: Case Numbers 038769CU, 148055SS, 199571SS, 210845SS,

218191CU, 222475SS, 258259, 281819SS, 351152, 358209SS

FG250

Unscanned: Case Numbers 092416CU, 224172

Bush Presidential Records: Staff and Office Files

Counsels Office, White House

Appointment Files

Commissioner John Carter Beese, Jr. Securities Exchange Commission [OA/ID 20104]
Member and Chairman Richard Carroll Breeden Securities Exchange Commission
[OA/ID 20107]
Acting Chairman Edward Hirsh Fleischman Securities and Exchange Commission
[OA/ID 20122]
Member Philip Raymond Lochner, Jr. Securities and Exchange Commission
[OA/ID 20136]
Securities Industry Representative George Harold Pfau, Jr. Board of Directors of the
Securities Investor Protection Corporation [OA/ID 20145]
Member James Michael Reum Securities and Exchange Commission [OA/ID 20147]
Member Richard Young Roberts Securities and Exchange Commission [OA/ID 20147]
Member Mary Lovelace Schapiro Securities and Exchange Commission [OA/ID 20149]

Beach, Chester Paul, Jr., Files—OIC Iran-Contra Files

[Binder Clip]: [ACC Lincoln Savings Securities Litigation] [OA/ID 20414]

Gray, C. Boyden, Files

SEC [Securities and Exchange Commission] [OA/ID 45081]

Schaerr, Gene C., Files—Shutdown Files

Securities and Exchange Commission [OA/ID 45615]

Schaerr, Gene C., Files—Subject Files

CFTC [Commodity Futures Trading Commission]/SEC [Securities and Exchange
Commission] [OA/ID 45618]
CFTC [Commodity Futures Trading Commission]/SEC [Securities and Exchange
Commission]: CFTC/SEC Spat [OA/ID 45618]
Securities Regulation Reforms [OA/ID 45634]
SEC [Securities and Exchange Commission] Investment Act Proposal [OA/ID 45635]
Securities Matters [1] [OA/ID 45636]
Securities Matters [2] [OA/ID 45636]
Securities Matters: Executive Compensation [OA/ID 45636]

Schmitz, John, Files—Alphabetical Subject Files

SEC [United States Securities and Exchange Commission]/CFTC [Commodity Futures
Trading Commission] [OA/ID 45695]

Schmalensee, Richard, Files

Securities and Exchange Commission—General [OA/ID 03688]

Intergovernmental Affairs, White House Office of

Alderman, Cliff, Files—Subject Files

Securities Regulation [OA/ID 05945]

Legislative Affairs, White House Office of
Breedon, Richard, Files—Issues and Analysis Subject Files
Bank Securities Registration and Administration Act [OA/ID 02056]

Calio, Nicholas E., Files
Securities and Exchange Commission (SEC) [OA/ID 00055]

Miscellaneous Files
Securities & Exchange Commission [OA/ID 08631]

Personnel, White House Office of
Bullock, Katja, Files—Appointment Files
Lochner, Philip Raymond Jr.—Securities Exchange Comm.—MBR Securities and
Exchange Comm. 450 5th St. NW Washington, DC 20549 AGY [OA/ID 07090]
Schapiro, Mary Lovelace—Securities Exchange Comm—MBR [Member] Securities and
Exchange Comm. 450 5th St. NW Washington, DC 20549 AGY [OA/ID 07220]

Gwaltney, Anne, Files
Monie Ryder: Securities and Exchange Commission [OA/ID 07096]

Public Liaison, White House Office of
Schaefer, James, Files
Securities and Exchange Commission Briefing for Chief Finance Ministers [OA/ID 07542]

Public Liaison, White House Office of
Vogt, Jeff, Files
National Association of Securities Professionals 3/23/90 [OA/ID 04726]

Bush Vice Presidential Records: Staff and Office Files

Counsellor's Office

Gray, C. Boyden, Files
SEC [Securities and Exchange Commission] [1] [OA/ID 15149]
SEC [Securities and Exchange Commission] [2] [OA/ID 15149]
SEC [Securities and Exchange Commission] [3] [OA/ID 15149]
SEC [Securities and Exchange Commission] [4] [OA/ID 15149]
SEC [Securities and Exchange Commission] [5] [OA/ID 15149]
SEC [Securities and Exchange Commission] [6] [OA/ID 15149]

Gray, C. Boyden, Files—Press Clipping Files
SEC [Securities and Exchange Commission] 1987–[19]88 [OA/ID 15196]

Schmitz, John, Files
VP [Vice President] Banking Bill: SEC [Securities and Exchange Commission] Comments
[OA/ID 15208]

Operations, Administration, and Staff Secretary, Office of
Collamore, Thomas J., Files—Personnel Files
Securities and Exchange Commission [OA/ID 14430]

Press Office

Speechwriter Files—Speech Files

6/28/84 Securities and Exchange Commission (SEC) 1984 Major Issues Conference
[OA/ID 14857]

[6/28/84 Securities and Exchange Commissions 1984 Major Issues Conference Dinner,
Washington, D.C. [OA/ID 14862]

Scheduling Office

Sullivan, Daniel, Files and Fitzgerald, Jennifer, Files—Event Files

Address—Securities and Exchange Commission's (SEC) Conference 6/28/84
[Washington, DC] [1] [OA/ID 14676]

Address—Securities and Exchange Commission's (SEC) Conference 6/28/84
[Washington, DC] [2] [OA/ID 14676]

Task Force on Regulatory Relief

Agency Recommendation Summary Files

Summary of Recommendations by Agency—Securities and Exchange Commission (SEC)
[OA/ID 15072]

Alpha Organization Files

Securities Industry Association [OA/ID 15018]

Breeden, Richard C., Files

Securities [&] Exchange Commission [OA/ID 15113]

Bank Securities Activities [OA/ID 15115-016]

Mortgage Backed Securities [OA/ID 15126]

NASD [National Association of Securities Dealers] [OA/ID 15126]

National Association of Securities Dealers—OTC [Over-the-Counter Margin]
[OA/ID 15126]

SEC [Securities and Exchange Commission] Insider Trading [OA/ID 15125]

SEC [Securities and Exchange Commission] Newsletters/Regulations [OA/ID 15125]

SEC [Securities and Exchange Commission] Request for Comments [OA/ID 15125]

SEC [Securities and Exchange Commission] 1940 Act [OA/ID 15125]

SEC [Securities and Exchange Commission] 1940 Act—Unitary Trusts [OA/ID 15125]

Task Group Sec [SEC—Securities and Exchange Commission] Comments [1]
[OA/ID 15125]

Task Group Sec [SEC—Securities and Exchange Commission] Comments [2]
[OA/ID 15125]

Task Group Sec [SEC—Securities and Exchange Commission] Comments [3]
[OA/ID 15125]

Task Group Sec [SEC—Securities and Exchange Commission] Comments [4]
[OA/ID 15125]

Task Group Sec [SEC—Securities and Exchange Commission] Comments [5]
[OA/ID 15125]

Task Group Sec [SEC—Securities and Exchange Commission] Comments [6]
[OA/ID 15125]

Task Group Sec [SEC—Securities and Exchange Commission] Comments [7]
[OA/ID 15125]

Securities and Exchange Commission [1] [OA/ID 15126]

Securities and Exchange Commission [2] [OA/ID 15126]

Securities and Exchange Commission [3] [OA/ID 15126]

Securities and Exchange Commission [4] [OA/ID 15126]

Securities and Exchange Commission [5] [OA/ID 15126]

Final Agency Report Files
[Independent Agencies Final Report—Securities and Exchange Commission]
[OA/ID 15065]

Quayle Vice Presidential Records: Staff and Office Files

Administration Office

Novitsky, Les, Files—Administrative Files
SEC [Securities and Exchange Commission] [OA/ID 22372]

Domestic Policy Office and the Council on Competitiveness

Gattuso, James, Files—General Files
Bryan Bill/securities fraud [1] [OA/ID 22265]
Bryan Bill/securities fraud [2] [OA/ID 22265]
Bryan Bill/securities fraud [3] [OA/ID 22265]

Legal Counsel's Office

Fischer, Llewellyn, Files—Subject Files
Securities and Exchange Commission [OA/ID 22207]

Howard, John, Files—FOIA Files/Trip Files

Securities and Exchange Commission 1986–1988 [1] [OA/ID 22343]
Securities and Exchange Commission 1986–1988 [2] [OA/ID 22343]

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