

144-13A

Office Memorandum • SECURITIES AND EXCHANGE COMMISSION

DATE: **May 17, 1968**

TO : **Mahlon Frankhauser, Administrator
New York Regional Office**

FROM : **Division of Trading and Markets**

SUBJECT: **Coordination of Broker-Dealer Inspections**

Broker-Dealers located in the area of your Regional Office reported as having been inspected during the past month by the parties cooperating in this program are identified below. The information identifies the inspecting party and includes the location of the firm or branch office inspected and the date each inspection was started.

The attached lists identify firms examined by the NASD, NYSE and Amex during April , 1968.

The PBS reports the following examination:

4/29/68 Lafferty, Harwood & Co. Montreal, Quebec

The PBS reports the following member scheduled for examination in

May:

Morgan, Ostiguy & Hudon, Inc. Montreal, Canada

Attachment



144-13A

Office Memorandum • SECURITIES AND EXCHANGE COMMISSION

DATE: **May 17, 1968**

TO : **James Dowd, Administrator
Boston Regional Office**

FROM : **Division of Trading and Markets**

SUBJECT: **Coordination of Broker-Dealer Inspections**

Broker-Dealers located in the area of your Regional Office reported as having been inspected during the past month by the parties cooperating in this program are identified below. The information identifies the inspecting party and includes the location of the firm or branch office inspected and the date each inspection was started.

The attached list identifies 19 firms examined by the NASD during April, 1968.

Attachment

144-13A

Office Memorandum • SECURITIES AND EXCHANGE COMMISSION

DATE: May 17, 1968

TO : Thomas B. Hart, Administrator
Chicago Regional Office

FROM : Division of Trading and Markets

SUBJECT: Coordination of Broker-Dealer Inspections

Broker-Dealers located in the area of your Regional Office reported as having been inspected during the past month by the parties cooperating in this program are identified below. The information identifies the inspecting party and includes the location of the firm or branch office inspected and the date each inspection was started.

The attached list identifies 9 firms examined by the NASD during April 1968.

The PBS reports the following examinations scheduled for May 1968:

A. W. Ault & Co. Cincinnati, Ohio
Brown Securities Co. " "

The NYSE reports the following examination:

4/1/68 McCormick & Co., Inc. Chicago, Illinois

A copy of the Midwest Stock Exchange report of examinations was sent directly to your office. See letter dated April 30, 1968



Attachment

J. Unger
Form SEC-541

144-13A

Office Memorandum • SECURITIES AND EXCHANGE COMMISSION

DATE: May 17, 1968

TO : William Green, Administrator
Atlanta Regional Office
FROM : Division of Trading and Markets
SUBJECT: Coordination of Broker-Dealer Inspections

Broker-Dealers located in the area of your Regional Office reported as having been inspected during the past month by the parties cooperating in this program are identified below. The information identifies the inspecting party and includes the location of the firm or branch office inspected and the date each inspection was started.

The attached list identifies 18 firms examined by the NASD during April, 1968.

The MSE reports the following 10 examinations:

4/15/68	S. T. Alcus & Co., Inc.	New Orleans, Louisiana
4/16/68	Ladd Dinkins & Co.	" " "
4/18/68	Scharff & Jones, Inc.	" " "
4/22/68	Schweickhardt & Co.	" " "
4/23/68	Abroms & Co., Inc.	" " "
4/25/68	Waters Parkerson & Co.	" " "
4/17/68	Allen & Co.	Lakeland, Florida
4/18/68	James I. Black & Co.	" "
4/15/68	Norris & Hirshberg, Inc.	Atlanta, Georgia
4/16/68	T. Nelson O'Rourke, Inc.	Daytona Beach, Florida

Attachment



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Office Memorandum • SECURITIES AND EXCHANGE COMMISSION

DATE: May 17, 1968

TO : **Gerald Boltz, Administrator
Fort Worth Regional Office**

FROM : **Division of Trading and Markets**

SUBJECT: **Coordination of Broker-Dealer Inspections**

Broker-Dealers located in the area of your Regional Office reported as having been inspected during the past month by the parties cooperating in this program are identified below. The information identifies the inspecting party and includes the location of the firm or branch office inspected and the date each inspection was started.

The attached list identifies 30 firms examined by the NASD during April 1968.

~~Attachment~~

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MAY 17 1968
MAIL PROCESSING SECTION S.E.C.

144-137

Office Memorandum • SECURITIES AND EXCHANGE COMMISSION

DATE: **May 17, 1968**

TO : **Donald Stocking, Administrator
Denver Regional Office**

FROM : **Division of Trading and Markets**

SUBJECT: **Coordination of Broker-Dealer Inspections**

Broker-Dealers located in the area of your Regional Office reported as having been inspected during the past month by the parties cooperating in this program are identified below. The information identifies the inspecting party and includes the location of the firm or branch office inspected and the date each inspection was started.

The attached list identifies 26 firms examined by the NASD during April 1968.

~~Attachment~~



J. Unger
Form SEC-541

Office Memorandum • SECURITIES AND EXCHANGE COMMISSION

DATE: **May 17, 1968**

TO : **Arthur E. Pennekamp, Administrator
San Francisco Regional Office**

FROM : **Division of Trading and Markets**

SUBJECT: **Coordination of Broker-Dealer Inspections**

Broker-Dealers located in the area of your Regional Office reported as having been inspected during the past month by the parties cooperating in this program are identified below. The information identifies the inspecting party and includes the location of the firm or branch office inspected and the date each inspection was started.

The attached list identifies 13 firms examined by the NASD during April 1968.

The NYSE reports the following examination:

4/22/68 Birr, Wilson & Co., Inc. San Francisco, California

A copy of the Pacific Coast Stock Exchange report of examinations was sent directly to your office and the LABO. See letter dated April 30, 1968.

Attachment

cc: LABO - w/attachment



Office Memorandum • SECURITIES AND EXCHANGE COMMISSION

DATE: May 17, 1968

TO : James E. Newton, Administrator
Seattle Regional Office

FROM : Division of Trading and Markets

SUBJECT: Coordination of Broker-Dealer Inspections

Broker-Dealers located in the area of your Regional Office reported as having been inspected during the past month by the parties cooperating in this program are identified below. The information identifies the inspecting party and includes the location of the firm or branch office inspected and the date each inspection was started.

The attached list identifies 5 firms examined by the NASD during April 1968.

Attachment

