



Regulatory Services Division
400 S. La Salle
Chicago, IL 60605

Date: September 14, 2001 RG 01-136
To: **Members and Member Organizations**
From: Regulatory Services Division and Office of Enforcement
Subject: Extensions on regulatory requests

The Regulatory Services Division and Office of Enforcement are immediately implementing a grace period for responses to regulatory information requests issued on or prior to September 11, 2001 relating to investigations or inquiries. Unless otherwise specifically notified, the Division and Office of Enforcement are extending the time for producing requested information pursuant to these requests until October 1, 2001. We anticipate that in the wake of the September 11, 2001 tragedy some members may have continuing difficulties meeting regulatory deadlines and requests that these members contact the appropriate parties as listed below at their earliest convenience:

Financial Reporting and Examinations:

| | | | |
|-------------------|---|-----------------|----------------|
| DPMs | : | Doug Beck | (312) 786-7959 |
| All other members | | Larry Bresnahan | (312) 786-7713 |
| | | Robert Gardner | (312) 786-7937 |

| | | |
|------------------|---------------|----------------|
| Sales Practices: | Barry Szurgot | (312) 786-7756 |
| | Dave Carlson | (312) 786-7052 |

| | | |
|---------------------------------|--------------|----------------|
| Electronic Blue Sheet requests: | Pat Sizemore | (312) 786-7752 |
|---------------------------------|--------------|----------------|

| | | |
|------------------------------|-------------------|----------------|
| General Regulatory requests: | Margaret Williams | (312) 786-7834 |
| | Rich Lewandowski | (312) 786-7183 |

| | | |
|-----------------------|---------------|----------------|
| Office of Enforcement | Andrew Spiwak | (312) 786-7483 |
|-----------------------|---------------|----------------|