September 28, 2001

SEC REQUEST FOR RECORDS REVIEW

URGENT [13994] September 28, 2001 TO: INTERNATIONAL OPERATIONS ADVISORY COMMITTEE No. 5-01 RE: SEC REQUEST FOR RECORDS REVIEW Earlier this week, President Bush signed an executive order freezing the assets of 27 known or suspected terrorists or terrorist organizations.1 On September 26, the Securities and Exchange Commission requested that all securities-related entities (whether or not registered with the SEC) voluntarily check their records for any relationships or transactions with the individuals or entities listed in that executive order or named by the Federal Bureau of Investigations as being under investigation in connection with the September 11th terrorist attacks. The combined list of names is set forth in the SEC's release, which is available at www.sec.gov. A copy of the SEC's release also is attached. If you know of any relationship or transaction with any of the individuals on this list, the SEC has requested that you notify them via e-mail to Enf-Search@sec.gov (put Enf-Search Request on the subject line) or by US mail to: United States Securities and Exchange Commission 450 Fifth Street, N.W. Washington, D.C. 20549-0801 Attn: Executive Order Records Search 1 See Memorandum dated September 24, 2001 to Bank and Trust Advisory Committee (No. 17-01), Broker/Dealer Associate Members (No. 6-01), Compliance Advisory Committee (No. 38-01), International Members (No. 14-01), Primary Contacts – Member Complex (No. 68-01), SEC Rules Members (No. 61-01) and Transfer Agent Advisory Committee (No. 65-01). 2 The SEC further has requested US securities-related entities to advise any foreign subsidiaries and affiliates of this request. Robert C. Grohowski Associate Counsel Attachment Attachment (in .pdf format)