

**Fowler C. West papers. Inclusive: 1964-2009, Bulk: 1965-1993**  
**Baylor Collections of Political Materials, W. R. Poage Legislative Library**  
**Baylor University, Waco, Texas**

**Summary Information**

<b>Creator</b>	West, Fowler C., 1940 -
<b>Extent (quantity/size)</b>	67 document boxes (27.94 linear feet) 4 three-ring binder boxes
<b>Language</b>	English
<b>Abstract</b>	The Fowler C. West papers represent West's Washington, D.C. career, 1964-1993, on the U.S. House of Representatives Agriculture Committee staff and as Commissioner of the Commodity Futures Trading Commission. Records include correspondence, speeches, administrative files, and subject files among other items.

**Subjects**

Agriculture -- United States. / Poage, W. R. (William Robert), 1899-1987. / United States. Commodity Futures Trading Commission -- Officials and Employees. / West, Fowler C., 1940- -- Archives.

**Administrative Information**

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<b>Preferred Citation</b>	When quoting material from this collection, the preferred citation is:  Fowler C. West papers, Accession #93, Box #, Folder #, Baylor Collections of Political Materials, W. R. Poage Legislative Library, Baylor University.
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<b>Processing Information</b>	Described by Amanda Fisher.
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Archivist's Notes: The following book is authored by Fowler West and located within [BearCat](#).

West, Fowler C. *He Ain't No Lawyer!: Memories From My Years With Congressman Bob Poage*. Waco, Tex: Baylor University, 2009.

### **Scope and Content**

The Fowler C. West papers range from 1964-2009 and cover the career of Fowler West in Washington, D.C. The papers document his service on the House Agriculture Committee staff and his tenure as a commissioner with the Commodity Futures Trading Commission. They are arranged in three series, including Agriculture Committee, Commodity Futures Trading Commission (CFTC), and Personal, with CFTC being the largest series.

Agriculture Committee materials span West's employment on the staff of the House Committee and as staff director. Topics included in this series are budgets, subsidies, farm problems and farm bills, grain and fuel legislation, rural development, and travel. This series also contains travel materials from Agriculture Committee delegations to Africa, Central America, India, and Southeast Asia.

The Commodity Futures Trading Commission series includes eleven subseries. Following the General subseries, the Advisory Committee on CFTC-State Cooperation subseries contains materials documenting West's chairmanship of the Federal Advisory Committee. Campaigns I and II subseries' document West's appointment to the CFTC in 1982. The Correspondence subseries is arranged chronologically. Dissents and Separate Views show the issues that were adjudicated to the level of the full Commission. The Meetings subseries has memos concerning business discussed at each commission meeting, notebooks for each quarter reporting on the staff, programs, statistics, and objectives of the CFTC, and memos from the CFTC's Division of Enforcement, Division of Trading and Markets, and Division of Economic Analysis. News Clippings document national press coverage of West and the CFTC. The series also includes subseries' Publications, Memos, and Notes; and Speeches and Statements. The Subjects subseries contains all CFTC materials not filed with a particular committee meeting or with correspondence files. It is the largest subseries in the CFTC series.

The Personal series consists of items relating to Baylor University, biographical information, West's promotions, invitations, and programs.

### **Administrative/Biographical History**

Fowler C. West was born July 6, 1940, in Bosqueville, Texas. He attended North Texas State University, 1958-1959, but received his BA degree in Political Science and History from Baylor University in 1963. He earned an MA from George Washington University in Legislative Affairs in 1980, and a JD degree from Georgetown University Law Center in 1988.

West began his government career in Washington, D.C. as a staff assistant in the office of Congressman W. R. Poage following his graduation from Baylor. From 1965 to 1969, he was on the professional staff of the House Committee on Agriculture where he had responsibilities involved with the Farm Bill of 1965 and the Laboratory Animal Welfare Act. Then, from 1969 to 1971, he served as Administrative Assistant to Poage acting as staff director and chief advisor.

In 1971, West returned to the House Committee on Agriculture as a staff consultant where he served as a legislative professional involved in the development and enactment of the Rural Development Act of 1972, the Farm Credit Act of 1971, and the Rural Telephone Bank Act of 1971. He was promoted to Staff Director of the Committee in 1973. As chief administrative officer of the Committee, he managed a staff of 50 professional and clerical employees and represented the Chairman in scheduling and processing of all legislative matters as well as organizing the Committee each session. During this period, the Committee developed several major legislative packages, including the Farm Bills of 1977 and 1981, and the Commodity Futures Trading Commission Act of 1974 which created the CFTC. He served under Committee Chairmen W. R. Poage, 1973-1974; Thomas S. Foley, 1975-1980; and Kika de la Garza, 1981-1982.

President Ronald Reagan appointed West a Commissioner of the CFTC in 1982 for a 5-year term. As a Commissioner,

West participated directly in all significant decisions for the CFTC, including the designation of new markets, adoption of rules, commencement of enforcement actions, allocation of budget resources, ruling on appeals from Administrative Law Judges in customer reparation and enforcement cases, review of exchange disciplinary and emergency market actions, and maintaining industry oversight.

As a Commissioner, West also chaired the CFTC's Advisory Committee on CFTC/State Coordination, served as CFTC delegate to the U.S. Office of Consumer Affairs Consumer Advisory Council chairing its Finance Group Task Force, and participated as a member of the National Futures Association Consumer Advisory Council. West was reappointed for another 5-years in 1987.

In 1992, when West's second term expired, he continued to serve as a Commissioner until a replacement was named. From 1993-1995, he was Executive Director of the North American Securities Administrators Association, Inc. in Washington, D.C. From 1996 to the present, he has served as president of West & West in Alexandria, representing groups involved in preserving the Everglades ecosystem.

West married Anne Smith Paine of Valdosta, Georgia. They have three sons: Fowler West, Jr., Mitchell Paine West, and William Robert Poage West. He participated in the Baylor University Men and Women of Merit Week in 1984, and was the recipient of the Congressional Staffer of the Year award in 1977. From 2005-2016, he served as co-chair of the Standing Committee, a friend and fund-raising group for the W. R. Poage Legislative Library at Baylor University.

#### **Related Citations**

Fowler C. West papers, Accession #93, Baylor Collections of Political Materials, W. R. Poage Legislative Library, Baylor University.

Yuen, Mike. "Wacoan Goes-Fer: Humble Start Leads to Federal Career." Waco Tribune-Herald, May 27, 1979.

#### **Archival Arrangement**

The Fowler C. West papers were originally processed in 1994 after a donation of 14 record storage boxes in 1993. Additions were added in 2013. They were previously arranged in 6 series: Personal Files, Agriculture Committee, CFTC Correspondence, CFTC Committee Meetings, CFTC Subject Files, and Publications. They are currently arranged in three series topically and chronologically: I. Agriculture Committee, II. Commodity Futures Trading Commission (CFTC), and III. Personal. The West papers are in good condition.

#### **Series 1: Agriculture Committee. 1964-1988**

The Agriculture Committee series covers West's employment on the staff of the House Committee from 1965-1969, and again from 1971-1982. In 1973, he was promoted to staff director, representing the Chairman in scheduling and processing legislative matters and organizing the Committee each session. Topics included in this series are budgets, subsidies, farm problems and farm bills, grain and fuel legislation, rural development, and travel. This series also contains travel materials, including itineraries, maps, and notes from Agriculture Committee fact-finding delegations sent to Africa in 1964, Central America in 1966, India in 1966, and Southeast Asia in 1968. The travel subseries is arranged chronologically. This series is in good condition.

#### **Subseries 1. General. 1966-1988**

Box 1. Folder 1. Capitol Report, 1966

Box 1. Folder 2. Federal 'Love' Lost on Loving County, 1970 April 1

Box 1. Folder 3. Farm Credit Act, 1971

Box 1. Folder 4. Rural Telephone Bank, 197

Box 1. Folder 5. Rural Development, 1971

Box 1. Folder 6. Rural Development, 1972

Box 1. Folder 7. Southwest Missouri Resource Conservation and Development Project Area, 1975

Box 1. Folder 8. Nixon-Ford Negation of America's Farmers, circa 1976

- Box 1. Folder 9. Committee Organization, 95th Congress, 1976
- Box 1. Folder 10. Food Stamp Testimony, Louisiana Food and Nutrition Service, 1976
- Box 1. Folder 11. Transition Planning Group Carter/Mondale, 1976
- Box 1. Folder 12. Agricultural Land Trust Venture Congressional Hearings, 1977
- Box 1. Folder 13. Omnibus Farm Bill, 1977
- Box 1. Folder 14. Robert V. Rota, Correspondence Form, 1978 January 1
- Box 1. Folder 15. Farm Summit Task Force, Agriculture and Government, 1978
- Box 1. Folder 16. National 4-H Council Citizenship Focus, 1979
- Box 1. Folder 17. Rules Committee, 1979
- Box 1. Folder 18. Ad Hoc Committee on Agricultural Issues Forum of the Agriculture Council of America, 1979 June 4
- Box 1. Folder 19. Fuel Facts, Oil Supplies and Prices, 1980
- Box 1. Folder 20. AAM - American Agriculture Movement, 1980
- Box 1. Folder 21. Alabama Coushatta Tribes of Texas/Louisiana Relief, 1980
- Box 1. Folder 22. Beekeeper Indemnity Termination, 1980
- Box 1. Folder 23. Budget, 1980
- Box 2. Folder 1. China Grain Agreement, 1980
- Box 2. Folder 2. Farm Credit Association, 1980
- Box 2. Folder 3. Farm Organization Positions, 1980
- Box 2. Folder 4. Farm Price and Credit Crisis, 1980
- Box 2. Folder 5. Farm Program History since 1977, 1980
- Box 2. Folder 6. Grain Companies, 1980
- Box 2. Folder 7. Grain Embargo, Domestic, 1980
- Box 2. Folder 8. Grain Exports Suspension, 1980
- Box 2. Folder 9. Humane Horse Treatment Bill, 1980
- Box 2. Folder 10. Palouse Basin Region, 1980
- Box 2. Folder 11. Rice Program, 1980
- Box 2. Folder 12. Sunflower Seed Exports, 1980
- Box 2. Folder 13. Air Controller's Strike, 1981
- Box 2. Folder 14. Administrative Changes for the Staff, 1981 January 12
- Box 2. Folder 15. Budget (1 of 2), 1981
- Box 2. Folder 16. Budget (2 of 2), 1981
- Box 2. Folder 17. Budget Crisis, 1981
- Box 2. Folder 18. Committee on Agriculture Budget, 1981 June 17
- Box 2. Folder 19. Committee Budget Resolution Preparation, 1981 February 6
- Box 2. Folder 20. Committee Offices, 1981 February 12
- Box 2. Folder 21. Conservation Credit Rural Development, 1981
- Box 2. Folder 22. Dairy Price Support, 1981
- Box 2. Folder 23. Deboned Meat, 1981
- Box 2. Folder 24. Economy and Recession, 1981
- Box 2. Folder 25. European Economic Community Trade War, 1981
- Box 2. Folder 26. Family Farms, 1981
- Box 2. Folder 27. Farm Bill, 1981
- Box 2. Folder 28. Farm Bill, Conference, 1981
- Box 2. Folder 29. Farm Bill, Cotton-Rice-Sugar Subcommittee, 1981
- Box 2. Folder 30. Farm Bill, Domestic Marketing Consumer Relations Nutrition, 1981
- Box 2. Folder 31. Farm Bill, Floor Consideration, 1981
- Box 2. Folder 32. Farm Bill, Hearings, 1981
- Box 2. Folder 33. Farm Bill, Livestock, Dairy and Poultry, 1981
- Box 2. Folder 34. Farm Bill, Operations, Research and Foreign Aid, 1981
- Box 2. Folder 35. Farm Bill, Opposition, 1981

Box 3. Folder 1. Farm Bill Status, 1981 April 27  
Box 3. Folder 2. Farm Bill Status, 1981 May 6  
Box 3. Folder 3. Farm Bill Status, Senate, 1981 July 8  
Box 3. Folder 4. Farm Bill, Tobacco and Peanuts, 1981  
Box 3. Folder 5. Farmers and Tax Bill, 1981  
Box 3. Folder 6. Food and Agriculture Act, 1981  
Box 3. Folder 7. Food for Peace Cargo Preference, 1981  
Box 3. Folder 8. Congressional Soc/Staff Club, 1981  
Box 3. Folder 9. Food Stamp Program, Reconciliation Conference, 1981  
Box 3. Folder 10. Gasohol, 1981  
Box 3. Folder 11. Grain Exports, 1981  
Box 3. Folder 12. Grain Policy, US-USSR, 1981  
Box 3. Folder 13. Gypsy Moths, Republican Dissents, 1981  
Box 3. Folder 14. House Rules and Agenda, 1981  
Box 3. Folder 15. Impoundment Powers of the President, 1981  
Box 3. Folder 16. Legislative Process, 1981  
Box 3. Folder 17. Mediterranean Fruit Fly, 1981  
Box 3. Folder 18. Meeting on Oversight, 1981  
Box 3. Folder 19. Members of the Majority Committee Staff, 1981 February 4  
Box 3. Folder 20. Milk and Casein Price Support, 1981  
Box 3. Folder 21. Party Unity, 1981  
Box 3. Folder 22. Peanut Program, Senate Action, 1981 September 17  
Box 3. Folder 23. Pesticides, 1981  
Box 3. Folder 24. President's Economic Program, "Reagan's Economic Mess", 1981  
Box 3. Folder 25. Research Project, 1981 May 12  
Box 3. Folder 26. Room Reservations, House Office Buildings, Garages and Capitol Power Plant, 1981  
Box 3. Folder 27. School Lunch, 1981  
Box 3. Folder 28. Senate Agriculture Committee Members, 1981  
Box 3. Folder 29. Social Security System, 1981  
Box 3. Folder 30. Staff Expenses, 1981  
Box 3. Folder 31. Staff Travel and Field Hearings, 1981 March 16  
Box 3. Folder 32. State Department, US Sugar Policy, 1981 July 7  
Box 3. Folder 33. Subcommittee Meeting Preparation, 1981 March 9  
Box 3. Folder 34. Subcommittee Staff Salaries, 1981 July 10  
Box 3. Folder 35. Sugar Policy, 1981  
Box 3. Folder 36. Telephone Program History, 1981  
Box 3. Folder 37. Tobacco, 1981  
Box 3. Folder 38. USDA Meeting, Butter Sale to New Zealand, 1981 July 10  
Box 3. Folder 39. Wheat, Soybeans and Feed Grains, 1981  
Box 3. Folder 40. Wheat Organizations, 1981  
Box 3. Folder 41. Appropriations Bills, 1982  
Box 3. Folder 42. Budget (1 of 3), 1982  
Box 3. Folder 43. Budget (2 of 3), 1982  
Box 3. Folder 44. Budget (3 of 3), 1982  
Box 4. Folder 1. Budget, Balanced Resolution, 1982  
Box 4. Folder 2. Budget Reconciliation Press Release, 1982  
Box 4. Folder 3. Butter Sale New Zealand, 1982  
Box 4. Folder 4. Farm Economy, 1982  
Box 4. Folder 5. Farm Problems, 1982  
Box 4. Folder 6. Foley Response to Reagan Tax Bill, 1982  
Box 4. Folder 7. Grain Announcement, 1982 October

- Box 4. Folder 8. Grain Exports Suspension, 1982
- Box 4. Folder 9. Meat Grading, 1982
- Box 4. Folder 10. Peanuts, 1982
- Box 4. Folder 11. Tax Increase, 1982
- Box 4. Folder 12. Wheat Program, 1982
- Box 4. Folder 13. Predator Control, 1988

### Subseries 2. Trips. 1964-1980

- Box 4. Folder 14. Africa, Department of State Background Material, 1964
- Box 4. Folder 15. Africa, Itinerary, 1964 November 15-December 5
- Box 4. Folder 16. Africa, Notes [Fowler West], 1964
- Box 4. Folder 17. Africa, Rep. D.R. Matthews Newsletter, 1965 January 8
- Box 4. Folder 18. Central America, Agricultural Commodities Imported from the US, 1964-1965
- Box 4. Folder 19. Central America, Conference Proceedings, 1966 May 11-17
- Box 4. Folder 20. Central America, Itinerary, 1966 May
- Box 4. Folder 21. Central America, Photographs, Textbook Development Center, 1966 May
- Box 4. Folder 22. Central America, Notes [Fowler West], 1966 May
- Box 4. Folder 23. Central America, Receipts, 1966 May
- Box 4. Folder 24. Central American, Trip Legislation-H.R. 833, 1966 April
- Box 4. Folder 25. India, India Map, 1966
- Box 4. Folder 25A. India, Menu (see oversized), 1966 December 2
- Box 4. Folder 26. India, Notes [by Fowler West], 1966 December
- Box 4. Folder 27. India, Photographs, 1966 December
- Box 4. Folder 28. India, Hyde Murray Drawing Indira Gandhi, 1966 December
- Box 4. Folder 29. India, Food for India, Dole-Poage Press Release, 1967 February 2
- Box 4. Folder 30. India, Food for India, Legislation- H.J. Res 267-P.L. 90-7, 1967 March-April
- Box 4. Folder 31. India, Food for India, Poage Statement, 1967 February 28
- Box 4. Folder 32. India, Grain Grant Request, 1967 January 11
- Box 4. Folder 33. Southeast Asia, Agriculture Committee Justification, 1967
- Box 4. Folder 34. Southeast Asia, Background Material, "The A.I.D. Program in Vietnam", 1967 July
- Box 5. Folder 1. Southeast Asia, Background Material, US Military Assistance Command Vietnam, 1967
- Box 5. Folder 2. Southeast Asia, Correspondence, 1967
- Box 5. Folder 3. Southeast Asia, Food Aid-P.L. 480, Rice, 1967
- Box 5. Folder 4. Southeast Asia, Food Aid-P.L. 480, Title I Situation, 1968
- Box 5. Folder 4. Southeast Asia, Food Aid-P.L. 480, Title II Food for Freedom, 1967
- Box 5. Folder 6. Southeast Asia, Food Aid-P.L. 480, Vietnam & USDA, 1967
- Box 5. Folder 7. Southeast Asia, Itinerary, 1968
- Box 5. Folder 8. Southeast Asia, Maps, 1968
- Box 5. Folder 9. Southeast Asia, Notes [Fowler West], 1968
- Box 5. Folder 10. Venezuela, Notebook, 1973
- Box 5. Folder 11. Venezuela, Photographs, 1973
- Box 5. Folder 12. Africa, General, 1980

### Series 2: Commodity Futures Trading Commission (CFTC). 1975-1993

The Commodity Futures Trading Commission series has eleven subseries and includes background research, correspondence, cases, news clippings, articles, speeches, and legislative proposals. Further description is provided with each subseries.

### Subseries 1. General. 1980-1992

The General subseries contains appointments and general files related to the CFTC.

- Box 5. Folder 13. Appointments, 1980-1992
- Box 5. Folder 14. Clinton Transition, 1992
- Box 5. Folder 15. Correspondence, Geoffrey Aronow, 1998
- Box 5. Folder 16. CFTC and SEC Merger, 1990 March
- Box 5. Folder 17. CFTC Historical Gallery, 2009
- Box 5. Folder 18. CFTC Report to Task Group on Regulation of Financial Services, 1983 March 23
- Box 5. Folder 19. Stock Market Crash of 1987, 1987-1988
- Box 5. Folder 20. Wendy L. Gramm, 1990-1992

### **Subseries 2. Advisory Committee on CFTC-State Cooperation. 1983-1992**

The Advisory Committee on CFTC-State Cooperation subseries documents West's chairmanship of the Federal Advisory Committee through speeches and information on topics such as commodity pools and model state commodity code. The committee addressed various anti-fraud initiatives involving federal and state enforcement efforts, and bank financed precious metal transactions. West urged the Advisory Committee to address the federal problems of deregulation.

### **Sub-subseries 1. General. 1983-1992**

- Box 5. Folder 21. Appointments, Fowler West, 1983-1986
- Box 5. Folder 22. Article, "CFTC and States Join Forces to Fight Commodity-Like Fraud", 1985 January
- Box 6. Folder 1. Commodity Law Violators' Manual, 1984 January
- Box 6. Folder 2. Meeting, Commission/States and North American Securities Administrators Association, 1983 December 6
- Box 6. Folder 3. Meeting Minutes, 1983 March 24
- Box 6. Folder 4. Meeting Minutes, 1984 May 8
- Box 6. Folder 5. Meeting Minutes, 1986 June 24
- Box 6. Folder 6. Meeting Minutes, 1986 July 24
- Box 6. Folder 7. Meeting Minutes, 1987 February 5
- Box 6. Folder 8. Meeting Minutes, 1987 February 7
- Box 6. Folder 9. Meetings Minutes, 1987 October 8
- Box 6. Folder 10. Meeting Minutes, 1988 September 14
- Box 6. Folder 11. Meeting Minutes, 1989 April 11
- Box 6. Folder 12. Meeting Minutes, 1989 November 14
- Box 6. Folder 13. Meeting Minutes, 1991 February 21
- Box 6. Folder 14. Meeting Minutes, 1991 February 21
- Box 6. Folder 15. Meeting Minutes, 1991 November 21
- Box 6. Folder 16. Meeting Minutes, 1992 May 12
- Box 6. Folder 17. Members, 1986
- Box 6. Folder 18. Resolution of Support, National Futures Association, 1992

### **Sub-subseries 2. Bank Financed Precious Metal Transactions. 1987-1992**

- Box 6. Folder 19. Bank Notes, undated
- Box 6. Folder 20. CTA Registration of 85-2 Dealers, 1989 September
- Box 6. Folder 21. Current and Possible Regulatory Requirements and Compliance Activities, undated
- Box 6. Folder 22. FDIC Report of Valley State Bank, Encino, California, 1987
- Box 6. Folder 23. FOIA Request on 85-2 Programs, 1989
- Box 6. Folder 24. Monex, 1987-1989
- Box 6. Folder 25. News Clippings, 1987-1992
- Box 6. Folder 26. North American Securities Administrators (NASAA), 1987-1988

- Box 6. Folder 27. Off-Exchange Task Force, Committee Recommendations, 1988 January 27
- Box 6. Folder 28. Off-Exchange Task Force, Interpretative Letter of 85-2, 1988 July 11
- Box 6. Folder 29. Off-Exchange Task Force, Statement, Fowler C. West, 1987 June 9
- Box 7. Folder 1. Off-Exchange Task Force, Summary Report, 1988
- Box 7. Folder 2. Program Transactions, 1985-1988
- Box 7. Folder 3. Publication, "Bank Financed Precious Metals Trading-Is It Just Another Precious Metals Scam?" William Lafferty, *Dickinson Law Review*, Vol. 93, No. 1, 1988
- Box 7. Folder 4. Transactions, California- Arrington, Spencer, and Associates, 1989 June
- Box 7. Folder 5. Transactions, California- Guardian Trust Bank Finance Program, 1988 June
- Box 7. Folder 6. Transactions, California- Precious Metals Finance Corporation, 1988
- Box 7. Folder 7. Transactions, Florida- Bachus and Stratton, Inc., 1987
- Box 7. Folder 8. Transactions, Florida- Guardian Trust Co., 1987-1989
- Box 7. Folder 9. Transactions, Florida- SafraBank, 1988
- Box 7. Folder 10. Transactions, Florida- Uni-Vest Financial Services, 1989

### Sub-subseries 3. Commodity Pools. 1983-1991

- Box 7. Folder 11. Article, "Regulation of Commodity Pool Operators Under the Commodity Exchange Act," Jeffery Rosen, *Washington and Lee Law Review*, Vol. 40, No. 3, 1983
- Box 7. Folder 12. North American Securities Administration Association (NASAA) Guidelines, 1989-1990
- Box 7. Folder 13. Proposal, "To Simplify Commodity Pool Disclosure Documents," Managed Futures Association, 1991 June
- Box 7. Folder 14. Regulation of Commodity Pools, August 1988, 1988
- Box 7. Folder 15. Regulate Off-Exchange Commodity Investments, 1984

### Sub-subseries 4. Model State Commodity Code. 1984-1986

- Box 7. Folder 16. Correspondence, 1985 October-November
- Box 7. Folder 17. Press Releases, 1984-1986
- Box 7. Folder 18. Testimony, Fowler West before Senate Financial Institutions Committee, 1986 February 4
- Box 7. Folder 19. Tracking Violators, 1984

### Sub-subseries 5. Speeches. 1983-1986

- Box 7. Folder 20. Brookings Institute 1983 Economics for Journalists Program, 1983 September 22
- Box 7. Folder 21. Operations Division of Future Industry Association, 1983 November 22
- Box 7. Folder 22. CFTC Enforcement Seminar, 1983 October 20
- Box 7. Folder 23. CFTC Regional Seminar on Cooperative and State Enforcement Actions, 1984 February 1
- Box 7. Folder 24. Futures Industry Association Law and Compliance Division, 1984 February 16
- Box 7. Folder 25. Futures Committee of the Federal Bar Association, 1984 April 24
- Box 7. Folder 26. Briefing on New Program to Combat Fraud in the Commodities Industry by the National Futures Association and CFTC, 1984 May 29
- Box 7. Folder 27. CFTC Enforcement Seminar, 1986 February 19
- Box 7. Folder 28. National Futures Association (draft), 1986 February 20

### Subseries 3. Campaign I. 1975-1982

Campaigns I and II subseries' document West's appointment to the CFTC in 1982 and 1988, and include the nomination and confirmation process in the U.S. Senate. Present are "Alpha Files," hundreds of letters to and from members of Congress that West maintained during the process. Correspondence between the White House and West are also included.

### Sub-subseries 1. General. 1975-1982



- Box 7. Folder 29. Appointment Documents, 1982 September 17
- Box 7. Folder 30. Biography, 1982
- Box 7. Folder 31. Background Paper, 1982
- Box 7. Folder 32. Hearing, 1982
- Box 7. Folder 33. History of Office Terms, 1975-1982
- Box 7. Folder 34. Oath of Office, 1982 October 6
- Box 8. Folder 1. Paper- "Legislative History of the CFTC", 1982 February
- Box 8. Folder 2. Personal Notes, 1981 December 9-1982 February 24
- Box 8. Folder 3. Personal Notes, 1982 February 24-March 23
- Box 8. Folder 4. Personal Notes, 1982 March 23- April 14
- Box 8. Folder 5. Personal Notes, 1982 April 14-May 14
- Box 8. Folder 6. Personal Notes, 1982 May 14- September 1
- Box 8. Folder 7. Personal Notes, 1982 September 2-October 6
- Box 8. Folder 8. Press Articles, 1982 March-June
- Box 8. Folder 9. Photograph, Fowler C. West, 1982

### Sub-subseries 2. Senate Confirmation. 1981-1982

- Box 8. Folder 10. Agenda, 1982 September 29
- Box 8. Folder 11. Committee Print, 1982 September 29
- Box 8. Folder 12. Committee Questions, 1982 September 29
- Box 8. Folder 13. *Congressional Record-Daily Digest*, 1982 September 28-30
- Box 8. Folder 14. Courtesy Call Notes, 1982
- Box 8. Folder 15. Executive Calendar, 1982 October 1
- Box 8. Folder 16. Financial Disclosure, 1982 June
- Box 8. Folder 17. Financial Disclosure, 1982
- Box 8. Folder 18. Photographs, 1982
- Box 8. Folder 19. Recommendation Letters to Reagan, 1982
- Box 8. Folder 20. Research, Philip Johnson Confirmation Hearing, 1981
- Box 9. Folder 1. Statements, Hon. Roger Jepsen, 1982 September 29
- Box 9. Folder 2. Statements, Hon. Thomas S. Foley, 1982 September 29
- Box 9. Folder 3. Statements, Hon. Marvin Leath, 1982 September 29
- Box 9. Folder 4. Statements, Fowler C. West, 1982 September 29
- Box 9. Folder 5. Support, Alpha Files, "A-F", 1982
- Box 9. Folder 6. Support, Alpha Files, "G-K", 1982
- Box 9. Folder 7. Support, Alpha Files, "L-O", 1982
- Box 9. Folder 8. Support, Alpha Files, "P-Z", 1982
- Box 9. Folder 9. Support, Alpha Files, "Boll Weevil," First Letter, 1982 February 16

### Subseries 4. Campaign II. 1987-1988

Campaigns I and II subseries' document West's appointment to the CFTC in 1982 and 1988, and include the nomination and confirmation process in the U.S. Senate. Present are "Alpha Files," hundreds of letters to and from members of Congress that West maintained during the process. Correspondence between the White House and West are also included.

- Box 10. Folder 3. Appointment Affidavits, 1988 August 2
- Box 10. Folder 4. Congratulations, 1988 April-May
- Box 10. Folder 5. *Congressional Record*, Vol. 134, No. 84, 1988 June 9
- Box 10. Folder 6. Hearing, Reappointment of Fowler C. West and Nomination of William W. Erwin, Before the Committee on Agriculture, Nutrition, and Forestry, United States Senate, 1988 June 7
- Box 10. Folder 7. News Clippings, 1987 June-1988 April

- Box 10. Folder 8. Reappointment Evaluation, 1988 May
- Box 10. Folder 9. Support, Alpha Files, "A-J", 1988
- Box 10. Folder 10. Support, Alpha Files, "K-P", 1988
- Box 10. Folder 11. Support, Alpha Files, "R-Z", 1988
- Box 10. Folder 12. "Weekly Compilation of Presidential Documents," Vol, 24, No. 16, Page 501, 1988 April
- Box 10. Folder 13. White House Press Release, 1988 April 20

### Subseries 5. Correspondence. 1982-1992

The Correspondence subseries is arranged chronologically.

- Box 10. Folder 14. General, 1982
- Box 11. Folder 1. General (1 of 3), 1983
- Box 11. Folder 2. General (2 of 3), 1983
- Box 11. Folder 3. General (3 of 3), 1983
- Box 11. Folder 4. General (1 of 3), 1984
- Box 11. Folder 5. General (2 of 3), 1984
- Box 11. Folder 6. General (3 of 3), 1984
- Box 11. Folder 7. General (1 of 2), 1985
- Box 12. Folder 1. General (2 of 2), 1985
- Box 12. Folder 2. General (1 of 3), 1986
- Box 12. Folder 3. General (2 of 3), 1986
- Box 12. Folder 4. General (3 of 3), 1986
- Box 12. Folder 5. General (1 of 3), 1987
- Box 12. Folder 6. General (2 of 3), 1987
- Box 12. Folder 7. General (3 of 3), 1987
- Box 13. Folder 1. General (1 of 3), 1988
- Box 13. Folder 2. General (2 of 3), 1988
- Box 13. Folder 3. General (3 of 3), 1988
- Box 13. Folder 4. General (1 of 3), 1989
- Box 13. Folder 5. General (2 of 3), 1989
- Box 13. Folder 6. General (3 of 3), 1989
- Box 14. Folder 1. General (1 of 3), 1990
- Box 14. Folder 2. General (2 of 3), 1990
- Box 14. Folder 3. General (3 of 3), 1990
- Box 14. Folder 4. General, 1991
- Box 14. Folder 5. General, 1992

### Subseries 6. Dissents and Separate Views. 1986-1993

Dissents and Separate Views are arranged alphabetically by case name and show the issues that were adjudicated to the level of the full Commission. An item level inventory of the binders is provided as a PDF.



- Box 15. Folder 1. Cases, "A-F", 1986-1993
- Box 16. Folder 1. Cases, "G-K", 1988-1992
- Box 17. Folder 1. Cases, "L-R", 1987-1992
- Box 18. Folder 1. Cases, "S-Z", 1986-1992

### Subseries 7. Meetings. 1980-1993

The Meetings subseries has been arranged in original order as much as possible, thus papers are mostly chronological. Generally, these files contain memos concerning business discussed at each commission meeting,

such as applications for designation as contract market in various option areas. There are also notebooks for each quarter reporting on the staff, programs, statistics, and objectives of the CFTC. Memos from the CFTC's Division of Enforcement, Division of Trading and Markets, and Division of Economic Analysis are represented throughout the meeting files. A variety of futures markets are represented in the committee files. Documents dealing with major exchanges and boards of trade are also found in this series.

- Box 19. Folder 1. Agriculture Advisory Committee, 1991
- Box 19. Folder 2. Kansas City Board of Trade/Value Line Composite Average, 1980 February 16
- Box 19. Folder 3. PSI, 1982 January 26
- Box 19. Folder 4. Chicago Mercantile Exchange Contract Market, 1984 January 11
- Box 19. Folder 5. Chicago Mercantile Exchange Mutual Offset System and Singapore, 1984 August 28
- Box 19. Folder 6. National Futures Association Briefing, 1985 April 30
- Box 19. Folder 7. Amendments to Contract Market Designations, 1985 August 13
- Box 19. Folder 8. New York Futures Exchange Contract Market, 1986 May 20
- Box 19. Folder 9. Chicago Board of Trade Petition, 1987 September 8
- Box 19. Folder 10. Chicago Mercantile Exchange Treasury Index, 1988 February 25
- Box 19. Folder 11. Program Objectives 3rd Quarter FY88, 1988 February 25
- Box 19. Folder 12. Chicago Board of Trade Contract Market Mortgage Backed Futures, 1988 April 19
- Box 19. Folder 13. Chicago Board of Trade Contract Market Silver Futures, 1988 April 19
- Box 19. Folder 14. MidAmerica Commodity Exchange, 1988 April 19
- Box 19. Folder 15. Chicago Board of Trade/Board of Exchange, 1988 May 11
- Box 19. Folder 16. Chicago Board of Trade Contract Market Medium Term, 1988 May 11
- Box 19. Folder 17. Program Objectives 4th Quarter FY88, 1988 May 26
- Box 20. Folder 1. Chicago Mercantile Exchange Contract Futures Silver Market, 1988 June 25
- Box 20. Folder 2. Chicago Board of Trade Contract Market 30-Day Interest Rate Futures, 1988 July 26
- Box 20. Folder 3. American Futures Corporation Enforcement, 1988 July 26
- Box 20. Folder 4. Enforcement John N. Kyle, II, 1988 July 26
- Box 20. Folder 5. Program Objectives, First Quarter FY89, 1988 September 13
- Box 20. Folder 6. Program Objectives, Second Quarter FY89, 1988 December 13
- Box 20. Folder 7. Hybrid Instruments Rules, 1989 March 27
- Box 20. Folder 8. Enforcement Activity, Second Quarter FY89, 1989 May 23
- Box 20. Folder 9. Enforcement, CFTC and *Colorado v. Morrison*, 1989 May 23
- Box 20. Folder 10. Enforcement, Rand -Bond of North America, 1989 May 23
- Box 20. Folder 11. Enforcement, Rothschild International, et al., 1989 May 23
- Box 20. Folder 12. Program Objectives Fourth Quarter FY89, 1989 June 1
- Box 20. Folder 13. Chicago Mercantile Exchange Sale Practice Audit Program, 1989 June 20
- Box 20. Folder 14. Enforcement, Thomas J. Johnson, 1989 June 20
- Box 20. Folder 15. Enforcement, Paul Sarnoff, Herbert Culpepper, 1989 June 20
- Box 20. Folder 16. Enforcement, Stanford Management Corporation, 1989 June 20
- Box 20. Folder 17. Enforcement, Elliot Thaler, Richard S. Rogers, 1989 June 20
- Box 20. Folder 18. Enforcement, Woodstock Trading Company, 1989 June 20
- Box 20. Folder 19. Enforcement, Steven C. Brenner, 1989 June 20
- Box 21. Folder 1. Chicago Mercantile Exchange Contract Market British Pound Sterling, 1989 June 29
- Box 21. Folder 2. Chicago Mercantile Exchange Contract Market, Pound Sterling, Japanese Yen, West German Deutsche Mark, 1989 June 29
- Box 21. Folder 3. Agenda, Commission Meeting, 1989 August 29
- Box 21. Folder 4. Enforcement, McFarlin Trading Company, 1989 December 9
- Box 21. Folder 5. Self-Regulatory Organization Committees and Disciplinary Histories, 1990 February 27
- Box 21. Folder 6. New York Mercantile Exchange Contract Market Natural Gas Futures, 1990 February 27
- Box 21. Folder 7. Program Objectives Fourth Quarter FY90, 1990 June 6
- Box 21. Folder 8. Chicago Board of Trade and Tokyo Stock Price Index, Japanese Govt. Bonds, 1990 June 20

- Box 21. Folder 9. Chicago Board of Trade Contract Market, Three Month European Currency Unit Interest Rate Futures, 1990 November 27
- Box 21. Folder 10. Program Objectives Second Quarter FY91, 1990 December 4
- Box 21. Folder 11. Chicago Board of Trade Contract Market, Cash Settled Three Year/5 Year Interest Rate Swap Futures, 1991 January 29
- Box 21. Folder 12. Chicago Mercantile Exchange Contract Market Broiler Chickens Futures, 1991 January 29
- Box 21. Folder 13. MidAmerica Commodity Exchanges Contract Market Corn Futures, 1991 January 29
- Box 21. Folder 14. Chicago Board of Trade Contract Market, Cash Settled Three Year/5 Year Interest Rate Swap Futures, 1991 February 26
- Box 21. Folder 15. Chicago Board of Trade Contract Market Short Term US Treasury Futures, 1991 February 26
- Box 21. Folder 16. Commodity Exchange Inc. Contract Market Gold Asset Participation Futures, 1991 February 26
- Box 21. Folder 17. MidAmerica Commodity Exchange Contract Market US Treasury Bond Futures, 1991 February 26
- Box 21. Folder 18. Program Objectives Third Quarter FY91, 1991 February 26
- Box 22. Folder 1. Twin Cities Board of Trade Contract Market British Pound, Deutsche Mark Cross Currency Futures Contract, 1991 February 26
- Box 22. Folder 2. Chicago Board of Trade Contract Market Three Month European Currency Unit Interest Rate Futures, 1991 March 25
- Box 22. Folder 3. Coffee, Sugar and Cocoa Exchange Contract Market Euro-Differential Coffee Futures, 1991 March 25
- Box 22. Folder 4. Commodity Exchange, Inc. Contract Market Five Day Physical Gold Option Contracts, 1991 March 25
- Box 22. Folder 5. Chicago Board of Trade Contract Market Long Term French Government Bond Futures, 1991 April 30
- Box 22. Folder 6. Chicago Mercantile Exchange Contract Market Six Currency Cross-Rate Futures, 1991 April 30
- Box 22. Folder 7. Chicago Mercantile Exchange Contract Market One Month LIBOR Futures, 1991 April 30
- Box 22. Folder 8. Program Objectives, Fourth Quarter FY91, 1991 May 21
- Box 22. Folder 9. Chicago Board of Trade for Contract Market Diammonium Phosphate Futures, 1991 July 25
- Box 22. Folder 10. Chicago Board of Trade for Contract Market German Government Bond Futures Contracts, 1991 July 25
- Box 22. Folder 11. Registration Rules, 1991 July 25
- Box 22. Folder 12. Enforcement, *CFTC v. Sun Hing Bullion Investment*, 1991 December 9
- Box 22. Folder 13. Enforcement, Noble Metals Int., Moorgate Ltd., 1991 December 9
- Box 23. Folder 1. Enforcement, Donald P. Damaso, 1991 December 17
- Box 23. Folder 2. Enforcement, Bruce Alan Drezner, 1991 December 17
- Box 23. Folder 3. Federal Register Revision of Contract Market Designation, 1992 January 22
- Box 23. Folder 4. Financial Products Advisory Committee, 1991
- Box 23. Folder 5. CPO and CTA Requirements, 1992 January 22
- Box 23. Folder 6. MidAmerica Commodity Exchange Contract Market Rough Rice Futures, 1992 January 22
- Box 23. Folder 7. Accredited Investor Concept in Exemptions from State Securities Registration Requirements, 1992 January 22
- Box 23. Folder 8. Quarterly Review First Quarter, FY92, 1992 January 22
- Box 23. Folder 9. Chicago Mercantile Exchange Contract Market Poor's Midcap 400 Stock Price Index Futures, 1992 February 11
- Box 23. Folder 10. New York Mercantile Exchange Contract market in Gulf Coast Unleaded Regular Gasoline, 1992 February 11
- Box 23. Folder 11. New York Mercantile Exchange Contract Market Natural Gas Futures, 1992 March 3
- Box 23. Folder 12. Chicago Board of Trade for Contract Market in Health Insurance Futures, 1992 March 31
- Box 23. Folder 13. Coffee, Sugar & Cocoa Exchange Contract Market Brazil Differential Coffee Futures, 1992 March 31
- Box 23. Folder 14. Quarterly Review Second Quarter FY92, 1992 April 21

- Box 23. Folder 15. Chicago Board of Trade Contract Market in Ferrous Scrap Futures, 1992 May 26
- Box 23. Folder 16. Regulation Rules, 1992 May 26
- Box 23. Folder 17. Chicago Board of Trade for designation as a Contract Market Canadian Government Bond Futures, 1992 July 30
- Box 23. Folder 18. MidAmerica Commodity Exchange Contract Market Three-Month Euro-Dollar Time Deposit futures, 1992 July 30
- Box 23. Folder 19. Quarterly Review, Third Quarter FY92, 1992 July 30
- Box 24. Folder 1. Relief Requirements for CPOs and CTAs, 1992 July 30
- Box 24. Folder 2. Chicago Board of Trade Contract Market in CBOT International Commodity Index futures, 1992 July 30
- Box 24. Folder 3. Commodity Exchange Contract Market Platinum and Palladium Futures, 1992 August 11
- Box 24. Folder 4. Chicago Board of Trade for Contract Market Clean Air Futures, Barge Freight Rate Index for grain shipments, Agricultural Index futures, 1992 September 25
- Box 24. Folder 5. Chicago Board of Trade's Proposed Project Trading System, 1992 October 19
- Box 24. Folder 6. MidAmerica Commodity Exchange Contract Market in MidAm U.S. Dollar Composite Index futures, 1992 October 19
- Box 24. Folder 7. Recordkeeping Requirements, 1992 October 19
- Box 24. Folder 8. Proposed Rule Revisions Hybrid Instruments, 1992 November 5
- Box 24. Folder 9. MidAmerica Commodity Exchange Contract Market Medium-Term U.S. Treasury Note Futures, Three-month Eurodollar Time Deposit Futures, U.S. Dollar composite Index Futures, 1992 November 5
- Box 24. Folder 10. Quarterly Review Fourth Quarter FY92, 1992 November 5
- Box 24. Folder 11. Proposed Rules Exempting SWAP Agreements, 1992 November 5
- Box 24. Folder 12. Broker Association Registration, 1992 November 24
- Box 24. Folder 13. Swaps and Hybrids, Final Rules, 1993
- Box 24. Folder 14. Swaps and Hybrids, Proceedings, 1993 January 14
- Box 24. Folder 15. Swaps and Hybrids, Statement Fowler C. West, 1993 January 14

#### **Subseries 8. News Clippings. 1982-1993**

News Clippings are arranged chronologically, documenting national press coverage of West and the CFTC.

- Box 24. Folder 16. General, 1982
- Box 24. Folder 17. General, 1983
- Box 25. Folder 1. General, 1984
- Box 25. Folder 2. General, 1985
- Box 25. Folder 3. General, 1986
- Box 25. Folder 4. General, 1987
- Box 25. Folder 5. General, 1988-1989
- Box 25. Folder 6. General, 1990
- Box 25. Folder 7. General, 1991
- Box 25. Folder 8. General, 1992-1993

#### **Subseries 9. Publications, Memos, and Notes. 1977-1991**

The Publications, Memos, and Notes subseries is arranged by format.

- Box 25. Folder 9. Articles, 1977-1981
- Box 25. Folder 10. Articles by West, 1983-1991
- Box 25. Folder 11. Book Review: *Securities Arbitration* by Fowler C. West, 1989 May
- Box 25. Folder 12. Book Review: *Securities Arbitration*, 1989 May
- Box 26. Folder 1. Memos, CFTC-SEC Cooperation, 1983
- Box 26. Folder 2. Memos, Insider Trading and Futures Markets, 1989

- Box 26. Folder 3. Memos, Anticipated Budget Needs, 1989
- Box 26. Folder 4. Notes, Fraud, circa 1985
- Box 26. Folder 5. Paper, "Customer Protection...", 1986
- Box 26. Folder 6. Paper, "Commodity Fraud and the Elderly," 1987
- Box 26. Folder 7. Paper, "Combating Commodity Fraud", 1984 May
- Box 26. Folder 8. Paper, "Commodity Fraud and the Elderly", 1987 December
- Box 26. Folder 9. Paper, "History of Arbitration in the Futures Industry and Its Interaction with the Commission's Reparation Program", 1987 September

#### Subseries 10. Speeches and Statements. 1983-1993

Speeches and Statements subseries is arranged chronologically.

- Box 26. Folder 10. CFTC-SEC Policy on Non-Diversified Stock Indices, 1984 January 18
- Box 26. Folder 11. National Futures Industry Conference, 1983 March 4
- Box 26. Folder 12. Trade Abuses, 1983 March 29
- Box 26. Folder 13. Committee on Futures Regulation of the Federal Bar Association, 1983 April 11
- Box 26. Folder 14. Before the Directors of the National Grain Trade Council, 1983 May 17
- Box 26. Folder 15. Before the Commodity Club of Washington [Not Delivered], 1983 June 13
- Box 26. Folder 16. Agricultural Options Advisory Committee Organizational Meeting, 1983 June 23
- Box 26. Folder 17. Valdosta Lion's Club, 1983 August 30
- Box 26. Folder 18. Brookings Institution 1983 Economics for Journalists Program, 1983 September 22
- Box 26. Folder 19. Kent Law School Conference, 1983 September 29
- Box 26. Folder 20. The Futures Markets and National Policy, An Agenda for the 1980's, 1983 October 6
- Box 26. Folder 21. Commodity Futures Trading Commission Division of Enforcement Seminar, 1983 October 20
- Box 26. Folder 22. Before the Commodity Club of Washington, D.C., 1983 November 9
- Box 26. Folder 23. Operations Division of the Futures Industry Association, Inc., 1983 November 22
- Box 26. Folder 24. Chicago Bar Association Commodity Law Committee and Futures Industry Association Law and Compliance Division, 1983 December 16
- Box 26. Folder 25. Joint Economic Committee, 1984 January 23
- Box 26. Folder 26. Before the Commodity Futures Trading Commission Regional Seminar on Cooperative and State Enforcement Actions, 1984 February 1
- Box 26. Folder 27. American Society of Public Administrators, 1984 February 8
- Box 26. Folder 28. Before the Futures Industry Association Law and Compliance Division, 1984 February 16
- Box 26. Folder 29. Mid America Commodity Exchange Opening, 1984 February 21
- Box 27. Folder 1. Futures Industry Association, 1984 March 5
- Box 27. Folder 2. Futures Committee of the Federal Bar Association, 1984 April 24
- Box 27. Folder 3. Advisory Committee on CFTC-State Cooperation, 1984 May 8
- Box 27. Folder 4. New Program to Combat Consumer Fraud in the Commodities Industry by the National Futures Association in Cooperation with the CFTC, 1984 May 29
- Box 27. Folder 5. Statement, 1984 June 12
- Box 27. Folder 6. Educational Seminar on Agricultural Commodity Options for the Southwestern Cotton Industry, 1984 September 7
- Box 27. Folder 7. Seventh Annual Commodities Law Institute Panel on CTA/CPO Issues, 1984 September 21
- Box 27. Folder 8. Adding Audit Trail Issue to Quarterly Objective, 1984 October 10
- Box 27. Folder 9. Third Annual Seminar on State Cooperative Enforcement Actions, 1984 October 18
- Box 27. Folder 10. Panel Discussion at CFTC-Jurisdictional Issues, 1984 October 23
- Box 27. Folder 11. Statement, Commission Meeting, 1984 Dec 20
- Box 27. Folder 12. Commission Approval of Rule 1.55 (d), 1985 Feb 5
- Box 27. Folder 13. 10th Annual National Futures Industry Conference, 1985 March 8
- Box 27. Folder 14. Chicago-Kent College of Law Eight Annual Commodities Law Institute Panel on FCM Issues, 1985

October 3

- Box 27. Folder 15. Statement, Mark Young, circa 1985
- Box 27. Folder 16. Audit Trail Final Rules, 1986 January 14
- Box 27. Folder 17. Senate Financial Institutions Committee, The Honorable Ray Moore, Chairman, 1986 February 04
- Box 27. Folder 18. Address Before the CFTC Enforcement Seminar, 1986 February 19
- Box 27. Folder 19. Futures Industry Association Annual Conference, 1986 March 7
- Box 27. Folder 20. Considering the New York Futures Exchange's Proposal, 1986 May 20
- Box 27. Folder 21. Concept Release: Hybrid Debt-Option Instruments, 1986 August 27
- Box 27. Folder 22. FCW Speech Outline, Enforcement Seminar, 1986 November 14
- Box 27. Folder 23. Before the Banking, Commerce, and Insurance Committee Nebraska State Legislature, 1987 February 20
- Box 27. Folder 24. In Support of Bill LB575 Before the Senate Banking, Commerce, and Insurance Committee Nebraska State Legislature, 1987 February 23
- Box 27. Folder 25. In Support of A.B. 203 Before the Nevada Assembly Commerce Committee, 1987 March 9
- Box 27. Folder 26. Meeting on Off-Exchange Issues, 1987 June 9
- Box 27. Folder 27. Arbitration and CFTC Reparations in Light of McMahon, 10th Annual Commodities Law Institute, 1987 October 15
- Box 27. Folder 28. Commodity Fraud and the Elderly, 1987 December
- Box 27. Folder 29. Dissent with Regards to Cox and Fry, circa 1987
- Box 27. Folder 30. Winter Conference National District Attorneys Association Metropolitan Prosecutors Committee, 1988 February 27
- Box 27. Folder 31. Before the Futures Industry Association 13th Annual National Futures Industry Conference Workshop: "Managed Money", 1988 March 10
- Box 27. Folder 32. Before the South Carolina Department of Consumer Affairs Kickoff Breakfast in Celebration of National Consumers Week/Annual Credit Education Week, 1988 April 25
- Box 27. Folder 33. Before the Industry Council for Tangible Assets, 1988 April 29
- Box 27. Folder 34. Senate Committee on Agriculture, Nutrition, and Forestry, 1988 June 10
- Box 27. Folder 35. Eleventh Annual Commodities Law Institute, 1988 October 19-21
- Box 27. Folder 36. ANPA/CBI Fraud Advertising Seminar, 1988 November 17
- Box 27. Folder 37. Telemarketing and Investment Fraud Forum, circa 1988
- Box 27. Folder 38. Proposed Rules for Hybrids, Statutory Interpretation of Hybrids, 1989 Jan 5
- Box 28. Folder 1. Current Issues of Interest to the "Managed Money" Industry-Before the 14th Annual National Futures Industry Conference, 1989 March 16
- Box 28. Folder 2. Before the Texas Cotton Association's 78th Annual Convention, 1989 March 31
- Box 28. Folder 3. Open Commission Meeting-Quarterly Objectives, 1989 June 1
- Box 28. Folder 4. ABA Conference, What a Difference Three Years Makes, 1989 July 11
- Box 28. Folder 5. What A Difference Three Years Makes, 1989 July 14
- Box 28. Folder 6. Commission Adoption of Final Hybrid Rule, 1989 July 17
- Box 28. Folder 7. Insider Trading in the Futures Markets, 1989 August 1
- Box 28. Folder 8. The Chicago Investigation, 1989 August 2
- Box 28. Folder 9. Commission Meeting-Legislative, 1989 October 6
- Box 28. Folder 10. In the Matter of September 1984 Frozen Concentrated Orange Juice Future, 1989 November 22
- Box 28. Folder 11. Before the Futures Industry Association-Law and Compliance Division, 1989 December 14
- Box 28. Folder 12. The Gas Futures Trading Conference, 1990 January 8
- Box 28. Folder 13. Futures Industry Association-Law and Compliance Division, 1990 January 25
- Box 28. Folder 14. The Futures Industry Association Fifteenth Anniversary, The National Futures Industry Conference, 1990 March 9
- Box 28. Folder 15. West Proposes Inter-Agency Jurisdictional Arbitration Panel, 1990 March 19
- Box 28. Folder 16. International Approaches to the Regulation of Futures, Forwards, Swaps, and Hybrids, 1990 May 2



- Box 28. Folder 17. National Grade Trade Council, 1990 May 9
- Box 28. Folder 18. Meeting of the Commodity Futures Trading Commission, 1990 June 20
- Box 28. Folder 19. Commerce, Consumer and Monetary Affairs Subcommittee of the House Committee on Government Operations Hearing on Telemarketing Fraud, 1990 July 12
- Box 28. Folder 20. Commodity Futures Trading Commission Before the Valdosta Kiwanis Club, 1990 August 17
- Box 28. Folder 21. Brent Issue, Committee on Commodities and Futures Law, NY State Bar Association, 1990 Nov 29
- Box 28. Folder 22. Support on Behalf of NASAA State Commodity Code, circa 1990
- Box 28. Folder 23. Dissent, circa 1990
- Box 28. Folder 24. The Gas Futures Trading Conference, 1991 February 13
- Box 28. Folder 25. Brent Issue, Chicago Bar Association Commodities Law Committee, 1991 February 15
- Box 28. Folder 26. The National Milk Producers Federation 75th Anniversary Annual Meeting, 1991 December 03
- Box 28. Folder 27. Futures Exchange Operations Program for the Moscow Commodity Exchange, 1992 March 12
- Box 28. Folder 28. Subcommittee on Conservation, Credit and Rural Development, 1992 May 19
- Box 28. Folder 29. National Conference on Telemarketing Fraud: Who are the Victims?, 1992 June 26
- Box 28. Folder 30. Commodities Law Institute Chicago Kent College of Law, 1992 October 23
- Box 29. Folder 1. National Consumers Week Workshop "Operation Wise Buy: Fact Fight Fraud", 1992 October 29
- Box 29. Folder 2. Open Commission Meeting on Swaps and Hybrids, 1993 January 14
- Box 29. Folder 3. NFA's Proposed Amendment and Interpretive Notice to its Compliance Rule 2-9, 1993 January 19

### Subseries 11. Subjects. 1982-1991

The Subjects subseries contains all CFTC materials not filed with a particular committee meeting or with correspondence files. It is the largest subseries in the collection and is arranged alphabetically by subject. It includes various materials related to topics such as the audit trail, which allowed regulators to detect fraud and abuse in trading; Brent North Sea Crude Oil contracts, a major issue before the CFTC in the early 1990s; and customer restitution, of which West was a proponent.

- Box 29. Folder 4. Agriculture Appropriations Bill, 1984
- Box 29. Folder 5. Agriculture in a Global Setting, 1988
- Box 29. Folder 6. Agriculture Options, 1982
- Box 29. Folder 7. Agriculture Options Expansion, 1986
- Box 29. Folder 8. AMEX Commodities Corporation, Gold Bullion Contract Applications, 1985
- Box 29. Folder 9. AMEX Commodities Corporation, Gold Bullion Contract Applications, 1985
- Box 29. Folder 10. AMEX Commodities Corporation, Gold Bullion Contract Applications, 1985
- Box 29. Folder 11. AMEX Commodities Corporation, Gold Bullion Contract Applications, 1985
- Box 29. Folder 12. AMEX Commodities Corporation, Two Year Treasury Note Futures, 1989
- Box 29. Folder 13. *Anspacher & Associates, Inc. v. Henderson, et al.*, 1988
- Box 29. Folder 14. Anniversary Conference, 1987
- Box 29. Folder 15. Arbitrage, Computerized, 1988
- Box 29. Folder 16. Arbitrage, London, 1988
- Box 29. Folder 17. Arbitration, US Supreme Court, 1987
- Box 29. Folder 18. Arbitration, 1987, 1989, 1991
- Box 30. Folder 1. Association of the Bar of New York Publications, 1987- 1988
- Box 30. Folder 2. Audit Trail, 1984
- Box 30. Folder 3. Audit Trail, 1985
- Box 30. Folder 4. Audit Trail, 1986
- Box 30. Folder 5. Audit Trail, Agriculture Subcommittee on Conservation, Credit, and Rural Development, 1989
- Box 30. Folder 6. Audit Trail, "CFTC's Audit Trail Proves the World is Flat," 1985 December
- Box 30. Folder 7. Audit Trail, "CFTC Vows to Push for Tougher Audit Trails," 1984 October 22
- Box 30. Folder 8. Audit Trail, Chronology, 1985 January 17



- Box 30. Folder 9. Audit Trail, Comments Fowler C. West, 1984-1986
- Box 30. Folder 10. Audit Trail, Commission Meeting, 1984 December 20
- Box 30. Folder 11. Audit Trail, National Grain and Feed Association, 1991
- Box 30. Folder 12. Audit Trail, John D. Dingell, North American Securities Administration Association, 1986
- Box 30. Folder 13. Audit Trail, Notebook, 1986
- Box 30. Folder 14. Automation to Detect Abuse, 1990
- Box 30. Folder 15. Bank Supervision, 1991
- Box 30. Folder 16. Bankruptcy Rules, 1986
- Box 31. Folder 1. Brody, Alan J., Regulation of Trading of Off-Exchange, 1985
- Box 31. Folder 2. Brady, Nicholas F., 1989
- Box 31. Folder 3. Brady, Nicholas F., 1991
- Box 31. Folder 4. Brady Commission, Stock Market crash, 1988
- Box 31. Folder 5. Brent North Sea Crude Oil Contracts, "Forwards vs. Futures: The Great Debate," 1991
- Box 31. Folder 6. Brent North Sea Crude Oil Contracts, Brent Market Background Information, 1989-1990
- Box 31. Folder 7. Brent North Sea Crude Oil Contracts, Comment File, 1990
- Box 31. Folder 8. Brent North Sea Crude Oil Contracts, Commission Issuances, 1990 April-June
- Box 31. Folder 9. Brent North Sea Crude Oil Contracts, CFTC Policy Interpretations on 15-day Brent Contracts, 1990 June
- Box 31. Folder 10. Brent North Sea Crude Oil Contracts, Des Moines Register, 1996 April 10
- Box 31. Folder 11. Brent North Sea Crude Oil Contracts, Dissent by Commissioner Fowler C. West, 1990 September 20
- Box 31. Folder 12. Brent North Sea Crude Oil Contracts, Federal Case, Correspondence with Court, 1990 April 26
- Box 31. Folder 13. Brent North Sea Crude Oil Contracts, Federal Case, Court Opinion, 1990
- Box 31. Folder 14. Brent North Sea Crude Oil Contracts, Federal Case, Motions to Dismiss [Denied], 1987 August 18
- Box 31. Folder 15. Brent North Sea Crude Oil Contracts, Order of the CFTC, "Exemption for Certain Contracts Involving Energy Products", 1993 April 5
- Box 31. Folder 16. Brent North Sea Crude Oil Contracts, Report, "U.S. Strategic Petroleum Reserve: Recent Policy Has Increased Costs to Consumers but Not Overall U.S. Energy Security," U.S. Senate Permanent Subcommittee on Investigations, 2003 March 5
- Box 31. Folder 17. Brent North Sea Crude Oil Contracts, Speech, "The Brent Issue: More than a Statutory Interpretation", 1990 November 29
- Box 31. Folder 18. American Agriculture Movement, 1991
- Box 31. Folder 19. Briefing Book, 1986
- Box 31. Folder 20. Broker Association, 1990
- Box 31. Folder 21. *Buschbaum v. Shearson Lehman Inc* Amicus Curie Brief, 1987
- Box 31. Folder 22. Budget Estimate (1986), 1984
- Box 32. Folder 1. Budget Estimate (1989), 1987
- Box 32. Folder 2. Budget Estimate (1990), 1988
- Box 32. Folder 3. Budget Estimate (1991), 1990
- Box 32. Folder 4. Budget Estimate (1992), 1990
- Box 32. Folder 5. Budget Estimate (1993), 1991
- Box 33. Folder 1. Budget Estimate (1994), 1992
- Box 33. Folder 2. Bush Task Group, Regulation of Financial Services, 1983
- Box 33. Folder 3. Capital News Release, 1992
- Box 33. Folder 4. Capital Markets Competition, Stability, and Fairness Act, 1990
- Box 33. Folder 5. Capital Briefing, 1987
- Box 33. Folder 6. Capital Systems Inc., CFTC Violators, 1984
- Box 33. Folder 7. Carabini, Louis E., Monex International, 1985
- Box 33. Folder 8. Centers for Futures Education, Inc., 1989
- Box 33. Folder 9. *CFTC and Chicago Board of Trade v. Securities and Exchange Commission/Chicago Board of Options*, 1981-1982

- Box 33. Folder 10. *CFTC and Lyn Bennett, et al. v. E. F. Hutton Company*, 1984
- Box 33. Folder 11. *CFTC and Blunt, et al. v. Hlavinka and Davison*, 1989
- Box 33. Folder 12. *CFTC and Krommenhoek v. A-Mark Precious Metals, Inc, et al.*, 1991
- Box 33. Folder 13. *CFTC and Cardoza v. CFTC and CBOT*, 1984
- Box 34. Folder 1. CFTC Division of Enforcement, Fraud, Financial Services Group, 1987
- Box 34. Folder 2. CFTC Division of Enforcement, Fraud, First International Commodities Group, 1987
- Box 34. Folder 3. CFTC Division of Enforcement, Fraud Case, Johanning, Liegberg, Wilkens, Pesek, 1987
- Box 34. Folder 4. CFTC Division of Enforcement, Fraud Case, Northwest Trading Group, William McCarthy, 1987
- Box 34. Folder 5. CFTC Division of Enforcement, Fraud Case, Linda Frances Altieri, 1988
- Box 34. Folder 6. CFTC Division of Enforcement, Fraud Case, Michael J. Lohan, 1989
- Box 34. Folder 7. CFTC Division of Enforcement, Fraud Case, Philipp Brothers, Inc. et al., 1989
- Box 34. Folder 8. CFTC Division of Enforcement, Fraud Case, A&H Financial Services, Inc., 1991
- Box 34. Folder 9. CFTC Division of Enforcement, Fraud Case, Dunhill Investments, 1991
- Box 34. Folder 10. CFTC Division of Enforcement, Fraud Case, Alan Horowitz, 1991
- Box 34. Folder 11. CFTC Division of Enforcement, Fraud Case, Ed Kokes, Mark R. Ilk, GNP Commodities, Inc., 1991
- Box 34. Folder 12. CFTC Division of Enforcement, Fraud Case, Bruce Mettelstadt, 1991
- Box 34. Folder 13. CFTC Division of Enforcement, Fraud Case, Danny L. Scheck, David Zatz, 1991
- Box 34. Folder 14. CFTC Division of Enforcement, Fraud Case, Michael B. Yatvin, 1991
- Box 34. Folder 15. Dispute with London Brokers, 1989
- Box 34. Folder 16. CFTC-SEC, Competition Articles, 1983-1985
- Box 34. Folder 17. CFTC-SEC, Joint Accords, 1982-1984
- Box 34. Folder 18. CFTC-SEC Merger, Articles, 1982-1990
- Box 34. Folder 19. CFTC-SEC Merger, Implications, 1993
- Box 34. Folder 20. CFTC-SEC, Interagency Study, 1984
- Box 34. Folder 21. CFTC-SEC Reauthorization, 1990
- Box 35. Folder 1. *CFTC v. American Metals Exchange Corp*, 1992
- Box 35. Folder 2. Chair, Susan Phillips, 1984-1989
- Box 35. Folder 3. Chicago Board of Trade, Annual Meeting, 1985
- Box 35. Folder 4. Chicago Board of Trade, Aurora, 1989
- Box 35. Folder 5. Chicago Board of Trade, Canadian Government Bond Futures, 1991
- Box 35. Folder 6. Chicago Board of Trade, Catastrophe Insurance Futures, 1992
- Box 35. Folder 7. Chicago Board of Trade, Chairman Testimony, 1989
- Box 35. Folder 8. Chicago Board of Trade, Chicago Mercantile Exchange Joint Audit Committee, 1990
- Box 35. Folder 9. Chicago Board of Trade, Corn, 1985,1991
- Box 35. Folder 10. Chicago Board of Trade, Disciplinary Action, 1989
- Box 35. Folder 11. Chicago Board of Trade, European Currency Bond Futures, 1991
- Box 35. Folder 12. Chicago Board of Trade, Gold and Silver Futures, 1987
- Box 35. Folder 13. Chicago Board of Trade, Institutional Futures, 1988
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