

Finding Aid for the Records of the Financial Crisis Inquiry Commission

(RG 148)

**If you are interested in viewing any of the records in this finding aid,
please contact the Center for Legislative Archives at
Legislative.Archives@nara.gov or (202) 357-5350.**

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II. Email of Commissioners and Staff.....

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About the Financial Crisis Inquiry Commission

The Financial Crisis Inquiry Commission (FCIC) was established in 2009 by Section 5 of the Fraud Enforcement and Recovery Act (PL 111-21). The 10 Commissioners, appointed by congressional leadership, hired a staff of more than 80 tasked with investigating 22 specific aspects of the financial crisis. The Commission held 19 days of public hearings across the country. Staff interviewed more than 700 people and collected millions of pages of records in paper and electronic form from government entities, financial institutions, and businesses. The 22 topics included in the FCIC’s investigatory mandate are:

- fraud and abuse in the financial sector, including fraud and abuse toward consumers in the mortgage sector;
- Federal and State financial regulators, including the extent to which they enforced, or failed to enforce statutory, regulatory, or supervisory requirements;
- the global imbalance of savings, international capital flows, and fiscal imbalances of various governments;
- monetary policy and the availability and terms of credit;

- accounting practices, including, mark-to-market and fair value rules, and treatment of off-balance sheet vehicles;
- tax treatment of financial products and investments;
- capital requirements and regulations on leverage and liquidity, including the capital structures of regulated and non-regulated financial entities;
- credit rating agencies in the financial system, including, reliance on credit ratings by financial institutions and Federal financial regulators, the use of credit ratings in financial regulation, and the use of credit ratings in the securitization markets;
- lending practices and securitization, including the originate-to-distribute model for extending credit and transferring risk;
- affiliations between insured depository institutions and securities, insurance, and other types of nonbanking companies;
- the concept that certain institutions are 'too-big-to-fail' and its impact on market expectations;
- corporate governance, including the impact of company conversions from partnerships to corporations;
- compensation structures;
- changes in compensation for employees of financial companies, as compared to compensation for others with similar skill sets in the labor market;
- the legal and regulatory structure of the United States housing market;
- derivatives and unregulated financial products and practices, including credit default swaps;
- short-selling;
- financial institution reliance on numerical models, including risk models and credit ratings;
- the legal and regulatory structure governing financial institutions, including the extent to which the structure creates the opportunity for financial institutions to engage in regulatory arbitrage;
- the legal and regulatory structure governing investor and mortgagor protection;
- financial institutions and government-sponsored enterprises; and
- the quality of due diligence undertaken by financial institutions

The FCIC selected several entities to study in depth to illustrate aspects of the crisis. These entities include American International Group (AIG), Bear Stearns, Citigroup, Countrywide Financial, Fannie Mae, Goldman Sachs, Lehman Brothers, Merrill Lynch, Moody's, and Wachovia.

The Commission's website

(www.cybercemetery.unt.edu/archive/fcic/20110310172443/http://fcic.gov) contains transcripts

and video of the public hearings, the text of the final report, staff data projects, reports and fact sheets, and audio or written transcripts or summaries of hundreds of staff interviews. The website also contains lists of Commissioners and staff; press releases; FCIC policies on financial disclosure, gifts, and other issues; and other information relating to its work.

The Commission issued its final report on Jan. 27, 2011. When it closed its doors on Feb. 13, 2011, it archived its records in the Center for Legislative Archives. The collection totals 551 archival boxes of paper records and more than 13 terabytes of electronic records. **All of the records require screening before they can be served to preclude the release of sensitive information that may be closed by statute or regulation. This screening can take several weeks. Please contact the Center for Legislative Archives well before your visit to allow enough time for screening.** This finding aid is also available in the form of entries in the National Archives Catalog where selected records may be uploaded to facilitate remote access.

FCIC Paper Records

The paper records of the Financial Crisis Inquiry Commission are comprised of **551 archives boxes arranged into 72 series** primarily created by individual staff. This section of the finding aid provides a brief description of each series, including the volume, followed by a folder title list.

There can be significant duplication in the records since several staff addressed similar topics. It is not unusual to find published materials that were used for reference and background.

As noted in the “About the Commission” section, each folder must be screened before it can be served to researchers. The commission gathered records from government agencies that contain highly sensitive information about *the regulation and supervision of financial institutions*. It also received records that include *sensitive commercial or financial information*. Some records contain information the release of which would violate *personal privacy*. All information fitting into these categories may be withheld from release under NARA General Restrictions (36 CFR 1256). Any records containing redactions of withheld information will reference the specific restriction applied.

Key to Abbreviations in the Description Section (below):

LTA-S = letter size archives box

LGA-S = legal size archives box

An archives box holds 800 – 1000 pages.

NAID = National Archives (Catalog) Identifier

HMS = internal NARA code indicating location within NARA’s stacks

Executive Director Wendy Edelberg's Files

Box count: 5 LTA-S

Arranged by subject

NAID: 24331230 HMS: HS1-93415443

This series contains background materials and briefing books for hearings; responses to document requests from Fannie Mae and others; drafts with comments of Final Report and Preliminary Investigative Reports; news articles, speech texts, and reference reading materials; agendas; email printouts; lessons learned from complex financial derivatives research; FCIC administrative records such as budgets, Commissioner hours worked, staff activities table, contracting for the publication of the Final Report, review of audio for release online; handwritten notes; financial crisis timeline; interview transcripts; and other records. Topics include mortgage fraud, derivatives, housing and credit bubbles, FCIC administration, Goldman Sachs, rating agencies, and lobbying expenditures.

Folder List:

Box 1 of 5

Executive Director, Wendy Edelberg's Notes Binder 1

Wendy Edelberg's Notes – Briefing Binder for 06/02/2010 Hearing

Edelberg's Notes

Fraud

Hearing 5 (Derivatives)

Section 1

Section 2

Section 3

Section 4

Personal -- Wendy Edelberg

Fraud

Budget

Commissioner Hours

Hearing 6

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Edelberg's Notes: Hearing 5 Background Materials

Publisher

Too Big to Fail

Timeline

Interrogatories

Big Ideas

Edelberg's Notes – Binder 4

Audio File Release Materials Binder

[Unlabeled]

Edelberg

Box 3 of 5

[Final Report Galley Proof]

Timeline

[Unlabeled]

Warning Articles

Charts

Fed Transcripts

To Add to Book

Vetting

Last Minute Changes

Box 4 of 5

Binder

Research Director: Immediate Actions

Website

Data Projects

Book Jacket Text

Reading

Preliminary Investigative Reports

[Final Report Draft]

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[Drafts and Comments – Final Report]

[SKDK Consulting Contract]

General Counsel Gary Cohen's Files

Box count: 2 LTA-S, 2 LGA-S

Arranged by subject

NAID: 24450857 HMS: HS1-92098524

This series contains handwritten notes, news articles, financial disclosure forms, court records re: King County, WA v. IKB Deutsche Industriebank AG, correspondence relating to document production and confidentiality agreements.

Folder List:

Box 1 of 4

Articles

9/11[Commission] Precedents

Staff Lists

Staff Meetings

Archives NARA

Confidential Information Share

Commissioner Ethics

Contracts for Services

Financial Disclosure

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Financial Disclosure

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[Handwritten Notes]

King County, WA v. IKB Deutsche Industriebank AG

Lobbying Data (Sources Not Verified)

[unlabeled]

[Handwritten Notes]

FCIC Meeting with Delegation of the European Parliament CRISIS Committee

[Miscellaneous]

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Document Productions, Original Productions, Confidential Information, Volume Seven- October 8th-December 20th

FCIC Referrals to the DOJ, Redlines

Confidentiality Agreements, Original Productions

Director of Investigations Chris Seefer's Files

Box count: 28 LTA-S, 5 LGA-S

Arranged by subject

NAID: 24450876 HMS: HS1-93479756

This series contains email printouts, press clippings, court records, Securities and Exchange Commission filings, handwritten notes, memoranda for the record, drafts of FCIC reports, bank examiner reports, earnings call transcripts, corporate press releases, and other records. Subjects include Lehman Brothers, AIG, Goldman Sachs, Bank of America, Countrywide, too big to fail, and Merrill Lynch.

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[Lehman Brothers]

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Lehman SEC Filings, 2006

Lehman: SEC Reports, 2006-2008

Lehman MFRs

Lehman Chronology Documents

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AIG: Steve Bensinger Interview [Background]

Hearing 5, AIG Earnings Release 2009-2005

UBS Miscellaneous

Hearing 2 Background Materials: OCC, GSEs, and OFHEO

SEIU [Service Employees International Union]

JP Morgan Chase Research Reports

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[Handwritten notes]

Greece – Goldman Sachs

Lehman Brother Examiner Report, Volume 6-8

Lehman Brother Examiner Report, Volume 9

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Lehman 2007 [Board of Directors] Packages

Lehman 2007 Minutes

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Lehman 2008 Minutes

[Lehman Brothers Holdings, Inc., Form 10-Ks]

Seefer

[Lehman Earnings Call Transcripts]
[Lehman SEC Filings]

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IndyMac
Citi
[Phillip Swagel]
[9/11 Report]
[Causes of the Financial Crisis, 09/2009 American Bar Association Report]
H[earing]1 Follow-up Letters
Suggested Questions for Hearing 1 Witnesses, 01/13-14/2010
Rating Agencies
[John] Mack
Fraud FBI
Roosevelt Institute Project on Global Finance, 03/2009
The Book

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[Handwritten Notes]
Las Vegas, NV – Fremont
Research File – Fannie Mae: Ferguson & Johnson Paper
Witness File: Chris Laursen
Exhibits from Hearing on Wall Street and the Financial Crisis: The Role of Investment Banks,
Senate Permanent Subcommittee on Investigations, 4/27/2010

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FCIC Forum, 2/26-27/2010
Sections I – IV Draft, 9/2-5/2010
Staff Briefing: Goldman Sachs Support Material, 01/13-14/2009
Hearing 4

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[Citigroup's 2008 Form 10-K]
[Citigroup's 2009 Form 10-Q]
Bank of America SEC Filings

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Seefer

Goldman Sachs Earnings Call Transcripts & Press Releases, Q1 2007 – Q3 2009
Bank of America Earnings Call Transcripts & Press Releases, Q1 2007 – Q3 2009
SRM Global Fund vs Countrywide
Countrywide

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Miscellaneous
Wachovia
[Interview Notes]
Wachovia FDIC Documents

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[Wachovia Projects]
Wachovia v Citigroup, Affidavit of Robert K. Steel
[Hearing] 7: Too Big to Fail
[IRS Notice 2008-83]
[FDIC, Wachovia Liability]
[Too Big to Fail]
Witness File: Brooksley Born
Detailees
FCIC Omnibus Workplan
Hearing 1: General
Hearing 4: Shadow Banking
Website Tips
Flaherman
CFA [Center for Financial Market Integrity]
Discovery Chart
Goldman Sachs
JP Morgan Chase
Morgan Stanley
Bank of America Corporation
FCIC Rules of Procedure
Executive Compensation
AIG
Wa[shington] Mu[tual]

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[Federal Reserve Open Market Committee (FOMC)]
[Federal Reserve Open Market Committee and Systemic Risk]
[Transcript of Interview with Sabeth Siddique, 09/09/2010]

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[Merrill Lynch Witnesses]
SEC v ICP Asset Management

Seefer

Norma CDO, Merrill Lynch
[Merrill Lynch]
Merrill [Lynch]

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Merrill Lynch Reports
[Merrill Lynch Research and Filings]

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Rabobank v Merrill Lynch & Co.
Goldman Sachs Articles, Vol. 1 of 2
Goldman Sachs Articles, Vol. 2 of 2

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Goldman Sachs Articles, Vol. 2 of 2 (cont'd.)
Goldman Sachs SEC Filings, Vol. 1 of 2

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Goldman Sachs SEC Filings, Vol. 2 of 2
Hearing 5 Financial Trend Analysis: Goldman Sachs
[Goldman, Miscellaneous]

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Goldman
SEC v. Goldman
Goldman PSI [Permanent Subcommittee on Investigations]
Goldman Documents

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[AIG]
[Goldman Hearing 5 Followup]
[Goldman Sachs Letter to FCIC of 3/1/2010, with Appendices]
Documents Produced by SEC, 5/7/2010
Goldman Memo and Chron[ology]

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Goldman Memo and Chron[ology] (cont'd.)
[Document Request – AIG]
Witness File: John Reich, Former Director of Office of Thrift Supervision
Witness File: Satyajit Das
AIG [American International Group] PWC [PricewaterhouseCoopers]
Steve Eisman
Deutsche Bank: Shorting Home Equity Mezzanine Tranches
AIG Documents

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AIG Govt Assistance
General Derivative Reading
Lewis: The Big Short
Draft AIG Memos
Hearing 5 Financial Trend Analysis: AIG
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[Robert E. Lewis]
AIG: Memo & Timeline
AIG Earnings Call Transcripts Q2 and Q3 2007

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Draft Summary of Preliminary Investigative Report on AIG
Witness File: Hearing 1, Meredith Whitney (Advisory Group LLC)
[Office of Federal Housing Enterprise Oversight, Fannie Mae, and Freddie Mac]
Witness File: Hearing 1, Chris Whalen (SVP Institutional Risk Analytics)
Witness File: Hearing 1, Bert Ely (Ely & Company, Inc)
Witness File: Hearing 1, Joan McCullough (Eastshore Partners)
Witness File: Hearing 1, Tom LaMalfa
Witness File: Morrison Public Affairs
Witness File: George Soros
Chris Seefer Notes – Hearing 1
Witness File: C.R. “Rusty” Cloutier, FCIC Notes
Witness File: Julia Gordon, FCIC Notes
Witness File: Dr. Kenneth T. Rosen, FCIC Notes
Witness File: Dr. Mark Zandi, FCIC Notes
Witness File: Peter J. Solomon, FCIC Notes
Witness File: J. Kyle Bass, FCIC Notes
Witness File: J. Kyle Bass, Articles, Letters to LPS
Chris Seefer Notes: Turner, FCIC Notes
William K. Black File
Witness File: Hearing 1, Robert Johnson
Witness File: Paulson & Co., FCIC Notes
Seefer Notes: 1/5/10 Federal Reserve Board Call
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Seefer Notes: Jerry Flum

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Seefer Notes: Robert Levin

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Seefer Notes: 6/4/10 SEC Call
Witness File: Hank Greenberg
Witness File: Lance Auer
Seefer Notes: Eliot Spitzer
Seefer Notes: John Talbot
Seefer Notes: Joseph St. Denis
Seefer Notes: Laurie Goodman
Seefer Notes: John Paulson
Seefer Notes: Bill Ackman
Seefer Notes: Mark Adelson
Seefer Notes: Federal Reserve Board Call, 1/21/2010
Seefer Notes: Peter Shapiro
Seefer Notes: Craig McCann
Fannie [Mae] Stock Hearings
Fannie Mae Research: FNMA Stock Price Chart & Histories
Seefer Notes: Hearing 2/3
GSE [Government Sponsored Enterprise] Tables
Freddie [Mac] Exam Reports
Research File: Freddie Mac Conservatorship Memo

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Research File: Fannie Mae Conservatorship Memo
Witness File: Herbert M. Allison (FNM)
Research File: Boyce Materials on Government Sponsored Enterprises
Fannie Mae Research: FNMA Organization Chart
Witness File: Mark Winer (Fannie Mae)
Witness File: Nell Minow, FCIC Notes
Witness File: Chris Swecker, FCIC Notes
Research File: FNMA Executive Compensation
Witness File: Stephen Ashley (Fannie Mae)
Witness File: Enrico Dallavecchia (Fannie Mae)
[Fannie Mae]
Fannie Mae: Monthly Reports 2000 – Year to Date 2009
Document Request Treasury Department
[Miscellaneous]
Government Sponsored Enterprises] -- Greenspan
Research File: Fannie Mae, FNMA Capital Standards
Witness File: Adolfo Marzol
Fannie Mae Research: 6/30/2009 FHFA [Federal Housing Finance Agency] Report re SFR
[Single-Family Residence] Guarantee Fees in 2007 & 2008
Fannie Mae Research: FHFA Report to Congress, 2008

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Case File: Fannie Mae, Recent Litigation
Witness File: David Johnson (Fannie Mae)

Research File: Fannie Mae, Board of Directors Info
Witness File: Pamela Johnson (Fannie Mae)
Fannie Mae Research: Sept. 2009 GAO Report on Fannie Mae & Freddie Mac
Witness File: Michael Aguirre, Correspondence
Witness File: Kenneth Bacon (Fannie Mae)
Witness File: David C. Benson (Fannie Mae)
Witness File: Robert T. Blakely (Fannie Mae)
Thomas J. Donlon (Fannie Mae)
Witness File: Ann Eilers (Fannie Mae)
Witness File: Prof. Michael Greenberger (University of Maryland)
Witness File: Carolyn Groobey (Fannie Mae)
Witness File: Todd L. Hempstead (Fannie Mae)
Witness File: Schyrl J. Hinrichs (Fannie Mae)
Witness File: David C. Hisey (Fannie Mae)
Witness File: Timothy Howard (Fannie Mae)
Witness File: Lou Hoyes (Fannie Mae)
Witness File: Mercy Jimenez (Fannie Mae)
Witness File: Philip A. Laskawy (Fannie Mae)
Witness File: Thomas A. Lawler (Fannie Mae)
Witness File: Salar K. Mirran (Fannie Mae)
Witness File: Daniel Mudd (Fannie Mae)
Witness File: Peter Niculescu (Fannie Mae)
Witness File: Zach Oppenheimer (Fannie Mae)
Witness File: Karen R. Pallotta (Fannie Mae)
Witness File: Michael A. Quinn (Fannie Mae)
Witness File: Franklin Raines (Fannie Mae)
Witness File: Sampath Rajappa (Fannie Mae)
Witness File: Michael A. Shaw (Fannie Mae)
Witness File: Mike Smilow
Witness File: John W. Snow, Former Treasury Secretary
Witness File: Julie St. John (Fannie Mae)
Witness File: Marianne E. Sullivan (Fannie Mae)
Witness File: Beth A. Wilkinson (Fannie Mae)
Witness File: Stephen Swad (Fannie Mae)
Witness File: Armando Falcon (Fannie Mae)
Witness File: Robert K. Steel (Fannie Mae)
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Hearing 2/3 Materials: Citigroup and Fannie Mae

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Hearing 4 Materials: Bear Stearns and Shadow Banking
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Hearing 5 Documents Released -- Complex Derivatives: AIG and Goldman Sachs

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[Exhibits from Senate Permanent Subcommittee on Investigations]

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Securitization to PIR [Preliminary Investigative Report]

Foreclosures: Senate Comm. on Banking, Housing and Urban Affairs Hearing, 11/16/2010

Foreclosures: Senate Comm. on Banking, Housing and Urban Affairs Hearing, 12/2/2010

Director of Research Greg Feldberg's Files

Box count: 19 LTA-S, 3 LGA-S

Arranged by subject

NAID: 24450880 HMS: HS1-93416875

This series contains hearing briefing books; interview transcripts; draft Preliminary Staff Reports, Preliminary Investigative Reports, and Final Report; industry publications; congressional testimony; rating agency-supplied documents; bank examiner documents; Government Accountability Office reports; journal and press articles; and handwritten notes. Subjects include rating agencies, AIG, Goldman Sachs, derivatives, Fannie Mae, Lehman Brothers, and others.

Folder List:

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FCIC Briefing Meeting, 6/29/2010

Briefing: Hearing on the Role of Derivatives in the Financial Crisis, 6/30-7/1/2010

Hearing 5 Background Materials: Credibility of Credit Rating Agencies, the Investment Decisions Made on those Ratings, and the Financial Crisis

Hearing 5 Background Materials: The Role of Derivatives in the Financial Crisis

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Hearing 5 Background Materials: The Role of Derivatives in the Financial Crisis (cont'd.)

Morgan Stanley's "Structured Credit Insights," 2006

Citigroup's CDO [Collateralized Debt Obligations]/CLO [Collateralized Loan Obligation] Market Research Reports, 4/5/2006

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[Miscellaneous Industry Analysis and Research]

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[Miscellaneous Industry Analysis and Research] (cont'd.)

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Fannie Mae Research: Morgan Stanley & Sanford Bernstein Analyst Reports, vol. 2 of 4

Fannie Mae Research: Morgan Stanley & Sanford Bernstein Analyst Reports, vol. 3 of 4

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Fannie Mae Research: Morgan Stanley & Sanford Bernstein Analyst Reports, vol. 4 of 4
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Rating Agency Documents

Hearing 6 Documents Released: TBTF [Too Big to Fail]: Wachovia and Lehman

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Chronology of Key Events Related to Lehman Brothers with Supporting Documents
BNY Mellon Production
Morgan Documents

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[JP Morgan-Supplied Documents]
Merrill Lynch: SEC OPSRA [Office of Prudential Supervision and Risk Analysis] Memos
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TBTF [Too Big To Fail]
Rosner
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[Bank Powers and Audits]
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[Report of the Money Market Working Group, 3/17/2009]
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Greenspan

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Credit Rating Agencies
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Too Big To Fail

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[Ethics Guidelines for Commission Staff]
[AIG]
FRBNY [Federal Reserve Bank of New York]
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Derivatives Testimony

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Derivatives Readings
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Markit
[International Swaps and Derivatives Association] ISDA
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Derivatives – Witnesses
Derivatives – Interviews
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Derivatives
Sanders
Credit Derivatives
Derivatives - Data
Derivatives – General
Shadow Banking
Moody's
Disclosure
Asbury
Investors
FHFA
DTCC Data

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Report of the Money Market Working Group, 3/17/2009
[Manuals]
[Publications]
“Substantive Positions of S&L Trade Associations, 1979-1989”
“Legal Authority, Basis and Structure of Thrift Regulatory Agencies Past and Present”
Draft of Staff Report on Credit Ratings

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Drafts of Section II of Final Report
[Miscellaneous Documents]

Incoming Correspondence to Commissioners

Box count: 5 LTA-S

Arranged roughly by name of addressee Commissioner

NAID: 24740229 HMS: HS1-92098603

This series contains incoming correspondence addressed to specific Commissioners discussing suggestions for investigative avenues, proposing solutions, defending decisions, and suggesting reading.

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[Miscellaneous Correspondence]

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[Miscellaneous Correspondence]

Williams, Jacqueline

Szymoniak, Lynn

Pugh, Gwynne

Lyons, Dennis

Keioukora, Tatiana

Locker, Bob

LeVene, Stuart

Anderson, Michael

Dillard, Vicki

Anderson, Robert

Angelo, Christopher

Barr, Alfred

Bernstein, Henry

Brown, David

Mr. Carr

[Form Letters to Chairman from Citizens dated 10/1/2010]

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[Form Letters to Chairman from Citizens dated 10/1/2010]

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[Form Letters to Chairman from Citizens dated 10/1/2010]

Domingo, Richard

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Ost, Dolores
Olson, Carl
Pessara, Chris
Pick, J.M.
Thurman, David
Garrett, Herm

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[Miscellaneous Correspondence]

Staff Briefing Files Relating to Hearing 1

Box count: 10 LTA-S

Arranged by subject or witness

NAID: 24740230 HMS: HS1- 93381690

This series contain multiple copies of the staff briefing book for Hearing 1: biography, testimony, and suggested questions for each witness; agendas; overview with statistical graphs; multiple copies of support materials volumes for hearing re: Goldman Sachs, Morgan Stanley, JPMorgan Chase, and Bank of America: news articles, key quotes and prior testimony of witnesses, shareholder letters and stock prices, financial trend analysis, quarterly earnings releases, conference call transcripts, and analysis reports for 2007-2009; Office of the Comptroller of the Currency Quarterly Report on Bank Derivatives Activities in the third quarters of 2006 through 2009; and reports from the Special Inspector General for the Troubled Asset Relief Program

Folder List:

Box 1 of 10

Staff Briefing, January 13-14, 2010 (copies 1 thru 3)

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Staff Briefing, January 13-14, 2010 (copies 3 and 4)

Support Materials: Day 1, Panel 2

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Support Materials: Day 1, Panel 3

Support Materials: Day 2, Panel 2

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Support Materials: Day 2, Panel 2

Support Materials: Vol. 1 -- Goldman Sachs (copies 1 and 2)

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Support Materials: Vol. 1 – Goldman Sachs (copy 2)

Support Materials: Vol. 2 – Morgan Stanley (copy 1)

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Support Materials: Vol. 2 – Morgan Stanley (copies 2 and 3)

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Support Materials: Vol. 2 – Morgan Stanley (copy 3)

Support Materials: Vol. 3 – JPMorgan Chase (copies 1 and 2)

Hearing 1

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Support Materials: Vol. 3 – JPMorgan Chase (copies 2 and 3)

Box 9 of 10

Support Materials: Vol. 4 – Bank of America (copies 1 and 2)

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Support Materials: Vol. 4 – Bank of America (copies 2 and 3)

Records Relating to Hearing 5

Box count: 2 LTA-S

Arranged by subject or witness

NAID: 24824023 HMS: HS1-93418947

This series contains AIG Forms 10K from FY 2000 through FY 2009 and other background materials for Hearing 5: “The Role of Derivatives in the Financial Crisis.” The background materials include questions for the panelists, panelist statements, news articles, memoranda for the record of staff interviews with panelists, transcripts of those interviews if available, and biographies of panelists.

Folder List:

Box 1 of 2

American International Group, Inc. Form 10-K, FY 2000 and FY 2001

American International Group, Inc. Form 10-K, FY 2002 and FY 2003

American International Group, Inc. Form 10-K, FY 2004 and FY 2005

American International Group, Inc. Form 10-K, FY 2006 and FY 2007

American International Group, Inc. Form 10-K, FY 2008

Box 2 of 2

American International Group, Inc. Form 10-K, FY 2009

Hearing 5 Background Materials: The Role of Derivative in the Financial Crisis

Shaista Ahmed's Files

Box count: 8.6 LTA-S

Arranged by subject

NAID: 24740231 HMS: HS1-92097825

This series contains hearing transcripts; Standard and Poor's-supplied documents; preliminary staff reports; staff investigative reports; memoranda; news clippings and articles regarding rating agencies, especially Standard and Poor's; derivatives; residential mortgage-backed securities; and government-sponsored enterprises.

Folder List:

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[Standard and Poor's]

S & P Methodology

Document and Information Requests to Standard & Poor's, Vol. 1

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Document and Information Requests to Standard & Poor's, Vol. 1(cont'd.)

Document and Information Requests to Standard and Poor's, Vol. 2

Document and Information Requests to Standard and Poor's, Vol. 3

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Document and Information Requests to Standard and Poor's, Vol. 3 (cont'd.)

Document and Information Requests to Standard and Poor's, Vol. 4

Credit Rating Agency Hearing [Preliminary Staff Report] and Investigative Report Background Documents

Preliminary Staff Reports

Preliminary Investigative Reports

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Preliminary Investigative Reports (cont'd.)

[Residential Mortgage-Backed Securities Rating]

[Housing Research]

FCIC Hearings Transcript: Role of Derivatives in Financial Crisis, 07/01/2010 [2 copies]

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FCIC Hearings Transcript: Role of Derivatives in Financial Crisis, 07/01/2010 [2 copies]
(cont'd.)

FCIC Hearings Transcript: Role of Derivatives in Financial Crisis, 06/30/2010 [2 copies]

Ahmed

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Derivatives

[Risk Management]

Credit Rating Agencies

Hearing 6: Too Big to Fail -- Follow-up Letters and Responses

Residential Mortgage-Backed Securities Case Study

[Ratings, by Bank]

Box 7 of 9

[Federal Reserve Board Transcripts]

[Correspondence and Miscellaneous]

“Systemic Risk: Fannie Mae, Freddie Mac and the Role of OFHEO,” 2/2003

Exhibits to October 15, 2010 Letter, From Tom Baxter to the FCIC

Staff Briefing for the Financial Crisis Inquiry Commission, 1/13-14/2010

Box 8 of 9

CD-ROM: Federal Housing Finance Agency Production 3(a)

[Washington Mutual]

Origination I: Materials on Underwriting, Brokers, and Compensation for Section II of FCIC
Final Report

The Road Ahead for the Fed, edited by John Ciorciari and John Taylor

Civil Rights and the Mortgage Crisis by U.S. Commission on Civil Rights. 09/2009

[Maxim – Merrill Lynch]

[Government-Sponsored Enterprises]

Box 9 of 9

Documents: Securities and Exchange Commission Ratings Agency

List of Potential Hires

Jonathan E. Armstrong's Files

Box count: 1.8 LTA-S, 1 LGA-S

Arranged by subject

NAID: 24740233 HMS: HS1-92098153

This series contains correspondence, handwritten notes, court records, document requests and responses, articles, and other records. Subjects include JP Morgan, the Community Reinvestment Act, Deutsche Bank, Clayton Holdings, mortgage origination and underwriting.

Folder List:

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[Handwritten Notes]

Cases

[Clayton Residential Services]

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[Mortgage Research]

[Data from Deutsche Bank AG]

[Document Request to Department of Housing and Urban Development]

[JPMorgan Chase Response re: Community Reinvestment Act]

[Citigroup Response to Document Request, 11/4/2010]

[Document Requests re: Fair Value Accounting]

[Lewis Ranieri]

[Mortgage Origination]

[William Apgar]

[Andrew Cuomo]

[Documents Supplied by JPMorgan]

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[Documents Supplied by JPMorgan] (cont'd.)

6/23/10 Interrogatories and Witness Identification Letters

Community Reinvestment Act Interrogatories and Responses

Rob Bachmann's Files

Box count: 1.5 LTA-S

Arranged by subject

NAID: 24740235 HMS: HS1-92098329

This series contains articles, memoranda, drafts of reports, details of the foreclosure of Mr. and Mrs. Michael Smith, and other data.

Folder List:

Box 1 of 2

[Investor's Recovery Specialists, Inc.]

[Smith Foreclosure]

Closed Session Meeting, Gretchen Kinney Newsom, 10/20/2009

Office of the Comptroller of the Currency

Memos, Correspondence, and Lists

Box 2 of 2

[Miscellaneous Articles]

Briefing Binder: Hearing on the Impact of the Financial Crisis – Greater Bakersfield, 9/7/2010

Martin Biegelman's Files

Box count: 2 LTA-S

Arranged by subject

NAID: 24740236 HMS: HS1-92098275

This series contains email printouts, articles, witness statements, and other records primarily relating to the first three Commission hearings.

Folder List:

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[Citigroup Hearing Background]

[Hearing 1]

[Memoranda]

[Statements of Lanny A. Breuer, Sheila C. Bair, and Mary L. Shapiro, 1/14/2009]

[Responses to Additional Questions from Scott, Taylor, Zingales, and Hart, 11/2009]

[Miscellaneous Notes]

Lisa Madigan

John Suthers

Denise Voight Crawford

Hearing: Too Big To Fail

Countrywide

Adolfo Marzol

Fannie Mae Doc Request

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Fannie Mae

Hearing 2

Housing Investment, Research, Hearing

Armando Falcon

Clayton Holdings

[Hearings 2 and 3]

Notes

Hearings Overview

[Research – Publications]

Brad Bondi's Files

Box count: 9 LTA-S

Arranged by subject

NAID: 24740239 HMS: HS1-92098237

This series contains handwritten notes, Citigroup records of Audit and Risk Management Committee meetings, Senate Permanent Subcommittee on Investigations exhibits from its financial crisis hearing, Moody's Rating Committee memoranda, background material for the FCIC hearing on rating agencies, and other records. Subjects include Citigroup, Moody's and other rating agencies

Folder List:

Box 1 of 9

FINRA [Financial Industry Regulatory Authority] Customer Arbitration, (Produced Documents), 1/15/2010

Citi Produced Docs, (Volume 1 of 3, CITI-FCIC 00000975 - CITI-FCIC 00001684, Audit and Risk Management Committee Meeting Supporting Documents), 1/26/2010

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Citi Produced Docs, (Volume 2 of 3, CITI-FCIC 00001685 - CITI-FCIC 00002350, Audit and Risk Management Committee Meeting Supporting Documents), 1/26/2010

Citi Produced Docs, (Volume 3 of 3, CITI-FCIC 00002351 – CITI FCIC 00003086, Audit and Risk Management Committee Meeting Supporting Documents), 1/26/2010

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Citi Produced Docs, (Volume 3 of 3, CITI-FCIC 00002351 – CITI FCIC 00003086, Audit and Risk Management Committee Meeting Supporting Documents), 1/26/2010 (cont'd.)

Citi Produced Docs, (CITI – FCIC 00000001 – CITI-FCIC 00000974, Board of Directors and Committee Minutes), 1/25/2010

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Citi Produced Docs, (CITI – FCIC 00000001 – CITI-FCIC 00000974, Board of Directors and Committee Minutes), 1/25/2010 (cont'd.)

Senior Supervisor's Group, (FRB Citi Annual Report of Inspection), 1999-2008

Bushnell Interview Exhibits & Misc. Citi Documents

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Citigroup Short-List Docs, 4/7/2010-4/8/2010

Citigroup Briefing Materials, 4/7/2010-4/8/2010

FRB Produced Docs (Citi), 1/19/2010

Citi Executive Committee Meetings, (Supporting Materials), 2005-2008

Bondi

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Citi Executive Committee Meetings, (Supporting Materials), 2005-2008 (cont'd.)
Moody's Rating Committee Memoranda
PSI [Permanent Subcommittee on Investigations], (Financial Crisis Exhibits), 4/23/2010

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Material for Hearing on Credit Ratings and the Financial Crisis
Credibility of Credit Ratings, 6/2/2010
Rating Agency Documents

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Rating Agency Documents (cont'd.)
Bondi Notes
Investment Company Institute, (Report of the Money Market Working Group), 3/17/2009
U.S. Securities and Exchange Commission Office of Inspector General, (Semiannual Report to Congress), 10/1/2009-3/21/2010
Interrogatory Documents, (Supporting Documents for Interrogatories Nos. 6, 19, 20, 22, 25, 29, 35, 39), 3/1/2010

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Interrogatory Documents, (Supporting Documents for Interrogatories Nos. 6, 19, 20, 22, 25, 29, 35, 39), 3/1/2010 (cont'd.)

Sylvia Boone's Files

Box count: 9.4 LTA-S, 1 LGA-S

Arranged by staff name

NAID: 24740240 HMS: HS1-92098205

This series contains vouchers, receipts, and other administrative documentation regarding staff, commissioners, and contracts.

Folder List:

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Scott Ganz

Gretchen Newsom

Courtney Mayo

Alexis A Simendinger

Sarah Zuckerman

Sarah J. Knaus

Tucker Warren

Cassidy D. Waskowicz

Maryann Haggerty

Sam Davidson

Shaista I. Ahmed

Jonathan Armstrong

Rob Bachmann

Sylvia Boone

Ryan Bubb

Matthew Cooper

Gary Cohen

R. Richard Cheng

Jobe Danganan

Thomas Borgers

Martin Biegelman

Barton W. Baker

Rishi Gupta

Thomas Greene

Sean Flynn, Jr.

Michael M. Flagg

Megan Fasules

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Desmond A. Duncker

Karen Dubas

Elizabeth Del Real

Randall Dodd

Kirsten E. Downey

Clara Morain

Steven L. Mintz

Joel Miller (Office of the Comptroller of the
Currency)

Bruce McWilliams

Carl McCarden

Julie A. Marcacci

Susan Mandel

Thomas Krebs

Peter Kavounas

Mary K. Kane

Robert C. Hinkley

Brian Sylvester

Landon Stroebel

Thomas Stanton

Jeffrey A. Smith

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Mina Simhai

Stuart Shroff

Gordon E. Shemin

Christopher Seefer

J Skipper Seabold

Scott Lorretto

Ryan T. Schulte

Beneva Schulte

Adam M. Paul

Dixie Noonan

Boone

Wendy Edelberg
Bradley Bondi
Melana Vickers
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Shirley Tang
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Alexander Maasry

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Daniel P. Feldhaus, C.S.R.
Caslon Press, Inc.
Bart Dzivi
Cort
Bryan, Michael
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Bruce McWilliams
EPIQ eDiscovery
Falk, Alice
Office Furniture Rental Allowance

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Kim L. Shafer
Thomson Reuters
Rosenberg, Morton
Robinson, Andrew
Lewin, Jane
Adams, Kathleen

Miller's Office Products
Christine M. Hock
Hodak, George A.
Lori Goodwine (Good PR Now)

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Bondi, Bradley
Boone, Sylvia
Borgers, Thomas

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Burrus, Troy
Cohen, Gary
Cunicelli, Victor
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Downey, Kirstin
Dubas, Karen
Duncker, Desmond A.
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Hinkley, Robert C.
Krebs, Thomas
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Mayo, Courtney
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Mintz, Steven

Newsom, Gretchen
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Stroebel, Landon
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Symposium (District of Columbia)

Tom Borgers and Victor Cunicelli's Files

Box count: 4.5 LTA-S, 1 LGA-S

Arranged by subject

NAID: 24740242 HMS: HS1-92098173

This series contains document and interview requests to Citigroup, with responses; Clayton Holdings data on loan pools and trending; news articles; put back data; Clayton Holdings' underwriter manual; handwritten notes; Options Group's Global Financial Market Overview and Compensation Reports for 2005-2008; Citigroup briefing materials; and rating agencies materials.

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William Apgar Testimony

[Various Permanent Subcommittee on Investigations Exhibits]

Documents Produced by Tom LaMalfa

Deposition of David Andrukonis

[Various Draft Memorandums]

[SEC-supplied documents]

Fannie C[ommunity] R[einvestment] A[ct]

10K PMI [Private Mortgage Insurance]

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PMI Study

Countrywide, Fannie and Freddie

Put Back -- Wells, DPM, Citigroup

PMI/LMI Request

Put Backs -- All

Put Backs, September 14 -- Wells, Citigroup, J.P. Morgan

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Clayton Underwriter Manual

Documents Produced by Ed Pinto, 12/10/2009

Andrew Cuomo Testimony

CLAS Training Guide for Put Back Reviews

CRA [Community Reinvestment Act] [on J.P. Morgan, Bank of America, Wells Fargo, and Citigroup]

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[Handwritten Notes]

2005 Global Financial Market Overview & Compensation Report [Options Group]

2006 Global Financial Market Overview & Compensation Report [Options Group]

2007/2008 Global Financial Market Overview & Compensation Report [Options Group]

Borgers/Cunicelli

Citigroup Briefing Materials, 4/7/2010-4/8/2010
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Citigroup Background Reading
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Citi Correspondence and Communication
Clayton's UBS Documents

Ron Borzekowski's Files

Box count: 4 LTA-S, 2 LGA-S

Arranged by subject

NAID: 24746996 HMS: HS1-92098371

This series contains articles, Permanent Subcommittee on Investigations exhibits, Federal Reserve press releases, emails, report drafts, document request responses, and other records. Subjects include mortgages, the Community Reinvestment Act, the Federal Reserve, and others.

Folder List:

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[Miscellaneous Research Articles]

Senate Permanent Subcommittee on Investigations Exhibits from Hearing on Wall Street and the Financial Crisis

Edward Pinto, Exhibit 1: Sizing Total Exposure to Subprime and Alt-A Loans in US First Mortgage Market as of 6/30/2008

Fannie Mae Data

Federal Reserve Press Releases

Freddie Mac: Cost of Meeting Affordable Housing Goals

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Hard Money Lending

Crisis Overviews

Preliminary Staff Report on Shadow Banking

Asset-Backed Commercial Papers

Securities and Exchange Commission -- Consolidated Supervised Entity Program

Hedge Funds

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TBTF [Too Big to Fail]

Short Selling

FCIC Meeting with Delegation of the European Parliament CRISIS Committee, 6/08/2010

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Witness File: Courtney Linn -- Orrick, Sacramento Office

[Document Request Responses re: Community Reinvestment Act]

Lobbying Expenses for Fannie Mae and Freddy Mac

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Ryan Bubb's Files

Box count: 4.5 LTA-S

Arranged by subject

NAID: 24747000 HMS: HS1-92098418

This series contains documents supplied by Moody's, background materials, a printed congressional committee hearing on bond insurance, press clippings, drafts of commission investigative reports on Citi and Fannie Mae. Subjects include the rating agencies, especially Moody's; the Community Reinvestment Act; Fannie Mae, and others.

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Rating Memos

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[Documents Supplied to the Senate Permanent Subcommittee on Investigations by Moody's]

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“The State of the Bond Insurance Industry” Hearing before the House Financial Services Committee, 2/14/2008

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CRA [Community Reinvestment Act]

Securitization

Who Holds [Mortgage Backed Securities, Collateralized Debt Obligations], and Credit Risk?

Flow of Funds

Reasons for Foreclosure Crisis

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Investigative Reports: Citi and Fannie Mae

Financial Market Regulation

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Collateralized Debt Obligations

Servicers, Modifications

Capital Regulation

Housing Bubble

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Moody's Internal Documents and Requests

Bubb

Cifuentes [, Arturo]

Adelson [, Mark]

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RA [Rating Agencies] Statements

RA [Rating Agencies] Government Reports

RA [Rating Agencies] Interviews

Use of Ratings in Regulations

Troy A. Burrus' Files

Box count: 4 LTA-S, 1 LGA-S

Arranged roughly by subject

NAID: 24747003 HMS: HS1-92098471

This series contains memoranda, news and journal articles, financial agency responsive documents, correspondence, handwritten notes, and other records. Subjects include Henry Paulson, Lehman Brothers, Countrywide, GMAC, repurchase agreements, commercial paper, shadow banking, and others.

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Repos [Repurchase Agreements]

[Wachovia/Bear Stearns]

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TBTF [Too Big to Fail] Interconnectedness

OCC [Office of the Comptroller of the Currency]

General Crisis Info

Clayton – Keith Johnson

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Lehman Brothers: Misc. Documents

Lehman Brothers: 10-K/Q Docs.

Lehman Brothers: Balance Sheet

Lehman Brothers: Repo 105

Lehman Brothers: Lehman Interview File

Lehman Brothers: Lehman Counterparty BOA [Bank of America]

Lehman Brothers: Lehman Counterparties – Dreyfus/Federated

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JP Morgan Repos [Repurchase Agreements]
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Vanguard Investments
GAO Report
SEC [Securities and Exchange Commission]
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Henry Paulson Background File, Vol. 4
Henry Paulson Background File, Vol. 5

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Timothy Geithner’s Testimony & News Articles
GMAC [General Motors Acceptance Corporation] Articles
Background Articles on Shadow Banking
GE [General Electric] Capital Corporations
Bank of New York /Mellon Production

Matthew Cooper's Files

Box count: 0.4 LTA-S, 1 LGA-S

Arranged by subject

NAID: 24747005 HMS: HS1-92098560

This series contains handwritten notes, drafts of sections of the final report, articles, and other records relating to Lehman Brothers, government sponsored enterprises, the Term Asset-Backed Securities Loan Facility, and shadow banking.

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[Draft Preliminary Staff Report: Shadow Banking and the Financial Crisis]

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Alberto Crego's Files

Box count: 17.5 LTA-S

Arranged by subject

NAID: 24747006 HMS: HS1-91991554

This series contains bank examiner and other oversight records, news articles, handwritten notes, 10-Ks and 10-Qs, government sponsored enterprise-supplied documents, handwritten notes, hearing preparation materials, memoranda for the record, email printouts, and congressional publications. Subjects include Countrywide Financial, AIG, Fannie Mae and Freddie Mac, Washington Mutual, Indy Mac, private label securities purchases, credit default swaps and collateralized debt obligations.

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Countrywide Financial Corp, Office of the Comptroller of the Currency/Office of Thrift

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Countrywide Alternative Loan Trust (CWALT) Data

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Countrywide Underwriting and [Loan Program Guide]

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- Board Minutes – Draw Down
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- 8-K Credit Facility Draw - Liquidity

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- Credit Losses by Riskiest Asset Class
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Fannie Mae Documents (FM-FCIC_00000210 – FM-FCIC_00000778)

Fannie Mae, (GSE [Government Sponsored Enterprise] Hearing):

- Fannie [Mae] Acquisition
- Charts and Tables

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Fannie Mae, (GSE [Government Sponsored Enterprise] Hearing) (cont'd.):

- Fannie Mae PLS [Private Label Securities] Purchases
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Government Sponsored Enterprise Hearing Regulation Documents

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- Single Family Book Growth Citi and Citigroup Growth in Sales of Interest Only
- Disclosure Subprime
- Treasury Fact Sheet – GSE Bloomberg
- Preferred Stock

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Fannie Mae Single Family Book – Seller Services Top
Fannie Mae Yields on [Available-For-Sale] Portfolio
Freddie Mac Compensation
Chapter – Conservatorship for [Government Sponsored Enterprises]
Fannie Mae and Subprime Hybrid ARMs (An Examination of 2/28 Loans... And
Recommendations for Fannie Mae Participation Going Forward), February 2007
Fannie Mae Strategic Plan 2007-2011, (“Deepen Segments – Develop Breadth”)
Miscellaneous Fannie Mae Documents:
Asian Fixed Income Investor Trip, Master List of Qs & As, March 2005
Freddie Mac Mission Update – Executive Summary, 8/30/2007
Discussion of HUD’s Proposed Housing Goals, (Presentation to the American Bankers
Association), 4/28/2004
Additional Q&A for 5/22/07 Press Briefing, (Fannie Mae’s Role in Subprime)
Fannie Mae Board of Directors Management Report, 7/17/2007
Freddie Mac Affordable Housing Goals – 2004 Plan, Board of Dir. Meeting, 4/1/2004
Miscellaneous Reports re: Wachovia, Indy Mac, Washington Mutual, Citibank, etc.
Fannie Mae - 2009 CRAM [Community Reinvestment Act Mortgages?] Book

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Fannie Mae - 2009 CRAM [Community Reinvestment Act Mortgages?] Book (cont’d.)
Acquisitions CRAM Book 1

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SEC form 10-Q Fremont General Corp Quarterly Report June – Sept 2007

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National City Corporation FCIC Work Papers
GMAC Summary
GMAC Work Papers
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Crego Nondisclosure Agreement

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Fannie Mae Documents FCIC FM-FCIC_00000779 – FM-FCIC_00001686

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SEC Form 10-K Washington Mutual, Inc.
Washington Mutual Work Papers
Washington Mutual:
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[Permanent Subcommittee on Investigations], 4/2010
Summary – WAMU
[Office of Thrift Supervision]/FDIC – WAMU

FDIC – WAMU

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Washington Mutual:

WAMU

Debt Ratings and Articles

Equity – [Credit Default Swaps]

IndyMac Work Papers

Media List Spreadsheet of 1/6/2010

Ratings Backed into Risk Based Capital [Bank Regs for Ratings]

SARs [Suspicious Activity Reports] Reporting Folder

Hearings: AIG Testimony and Transcripts

[Credit Default Swaps – Goldman Sachs, Bear Stearns, Lehman Brothers]

[Residential Mortgage Backed Securities]/[Asset Backed Securities] Examples by Source

AIG Bloomberg Report May 2008

SEC Form 10-K New Century Financial Corp. FY ending 12/31/2005

AIG [Office of Thrift Supervision]

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Multi-sector [Collateralized Debt Obligation] Book

Presentation to the FCIC April 28, 2010 [Weil, Gotshal & Manges]

AIG [Credit Default Swaps] Notional Balances, 2000-2010

Select ML [Maiden Lane] III LLC Holdings

AIG Multi-sector CDO Book : Credit Committee Presentations 2004 – 2007

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AIG Multi-sector CDO Book : Credit Committee Presentations 2004 – 2007

AIG Multisector [Credit Default Swap] Book: Credit Risk Committee Presentations [incl. Abacus]

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AIG Stress Book, 9/15/2008

Valuation & Pricing Related to AIG Transactions

AIG: Largest Insurance Company

AIG – State of New York Issue of Winding Down SEC Loan

Financial Products Contribution to AIG Consolidation

AIG Credit Ratings, March 2005 Downgrades

Goldman Sachs Buys CDS on AIG

2005 ISDA Collateral Guidelines

Memoranda for Record [MFR]: Mahoney and Dahlgren, April 2010

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Government Assistance and Maiden Lane

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PriceWaterhouseCooper Production
ABS DG
Hearings and Testimony, AIG, 111th Congress
Investment Securities AIG, 2004-2008
AIG Financial Documents

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Press Articles and Research re: [Credit Default Swaps]
Goldman PLRMBS Sale to AIG – SEC-Lending
AIG Counterparty Exposures
Collateral Posting CDS – AIGFP
AIG Miscellaneous

Jobe Danganan's Files

Box count: 7 LTA-S, 2 LGA-S

Arranged roughly by subject

NAID: 24747008 HMS: HS1-91991657

This series contains handwritten notes, memoranda for the record, documents supplied by institutions and Federal agencies at the request of the commission, drafts of FCIC reports, journal and press articles. Subjects include Citi, executive compensation, Federal Housing Finance Agency conservatorship, Lehman Brothers, and short selling.

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Select Documents from [Office of the Comptroller of the Currency] (Citi), 2/17/2010

Excess Risk and Speculation

[Articles and Research re: Executive Compensation]

[Draft Preliminary Investigative Report on Governance, Risk Management, and the Financial Crisis]

Federal Housing Finance Agency [Responsive Documents]

FHFA [Federal Housing Finance Agency] Conservatorship Manual (5/19/2008 Draft)

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FHFA [Federal Housing Finance Agency] Conservatorship Manual (6/20/2008 Draft)

[Drafts of FCIC Preliminary Investigative Reports]

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[Records Relating to Compensation] [cont'd.]

OCC Produced Documents (Citi), vol 1 of 6

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Valukas – Lehman Examiner

Citibank – Lehman

Interview Prep – Lehman

AHG [Affordable Housing Goals]– Epiq 300-400

Danganan

Box 7 of 9

Corporate Library – Citi, Current
[Miscellaneous Unfolded Papers]
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Interview Notes
JP Morgan – Lehman
Chronology of Selected Events re: JPMC and Lehman, including Supporting Documents
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Short Sales

Kirstin Downey's Files

Box count: 2 LGA-S

Arranged by subject

NAID: 24747009 HMS: HS1-92107711

This series contains primarily handwritten notes made during interviews. Also included are the “2009 Mortgage Market Statistical Annual” and some news articles. The records, which concern mortgage fraud, include interviews conducted in Sacramento, Bakersfield, and Las Vegas.

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Jim Rokakis

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Marc Savitt

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Warnings

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[Miscellaneous]

Bakersfield

Sujit Canagaretna

Cleveland Data

Sacramento

Karen Dubas' Files

Box count: 33 LTA-S

Arranged by subject

NAID: 24747011 HMS: HS1-93413106

This series contains articles, supporting documents for the preliminary staff report on credit rating agencies, correspondence with Moody's and Standard and Poor's, correspondence regarding the June 1, 2010 hearing, transcripts and interview summaries, correspondence and performance data from Citigroup, reports filed with the Comptroller of the Currency and the Securities and Exchange Commission, Citigroup executive committee meeting minutes, Government Accountability Office reports, drafts of FCIC staff reports and preliminary investigation reports, Citigroup's Audit and Risk Management Committee and Board of Directors' materials, and email printouts. Subjects include credit rating agencies methodology and performance, Citigroup, regulation and supervision of financial institutions, Community Reinvestment Act, Bank of America-Merrill Lynch Troubled Asset Relief Program funds, and others.

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Moody's RMBS [Residential Mortgage-backed Securities] and CDO [Collateralized Debt Obligations] Ratings

Rating Agency PSR [Preliminary Staff Report] – Supporting Documents

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Moody's Corporate 10-Ks

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FCIC Interview of Ilya Kolchinsky, 4/27/2010 [duplicate]

SEC Ratings Agency Documents

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Connecticut Attorney General's Moody's Documents

Hearings 5A Rating Agency Documents

Citi Preliminary Report Documents (“Best of” Citigroup Documents for Hearing 2/3)

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Citi Correspondence & Communication (Citigroup-Related Correspondence)

Citigroup & CRA (Community Reinvestment Act)

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TARP: Citigroup (Citigroup 2008 Documents) (Chapter 9, Section III of Book Drafts)

TARP: Bank of America and Merrill Lynch (Chapter 9, Section III of Book Drafts)

Wachovia –Systemic Risk Exception, 9/25/2008

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Regulator Document Requests:

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Citi 2007 [Board of Directors] Materials [5 files] (cont’d.)

Dubas

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Citi Documents from SEC

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SEC-Citi CSE [Consolidated Supervisory Entities] Documents (cont'd.)

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Adolfo Marzol Exhibits

FRB Citi Docs

Miscellaneous Citi Docs

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Witness Exhibits 2:

Exhibits (Prince), 3/17/2010

Exhibits for Rubin, 3/11/2010

Bushnell Exhibits, 4/1/2010

Citi Minutes:

Citi Board of Directors Minutes, 2004-2007

Citi ARM [Audit and Risk Management] Committee Minutes, 2005-2007

Citi Corporate ARM [Audit and Risk Management] Minutes, 2005-2007

Citi Consumer ARM [Audit and Risk Management] Minutes, 2005-2007

Citi 2008 Minutes (Board of Directors and ARM [Audit and Risk Management])

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Citi Litigation:

George Pappas v. Countrywide et al.

In re: American Home Mortgage Securities Litigation

In re: Citi Shareholder Derivative Litigation

In re: Citigroup Securities Litigation

In re: Citigroup Bond Action Litigation

In re: Lehman Securities & ERISA Litigation

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Robert Rubin

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Richard Bitner

Patricia Lindsay

Richard Bowen

Susan Mills

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Copies of Citigroup/Paul Weiss Correspondence

Dick Bowen (Citi Whistleblower)

Citi – Tracing a Loan & Ridgeway II, 3/2/2010

Interrogatory Supporting Docs

Citigroup 2003 10K

FINRA [Financial Industry Regulatory Authority] Customer Arbitration

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FDIC Emails Re: Bank of America – Merrill Lynch TARP Funds

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Bartly A. Dvizi's Files

Box count: 7.5 LTA-S

Arranged by subject

NAID: 24747014 HMS: HS1-93413757

This series contains records furnished by the Office of the Comptroller of the Currency and Federal Reserve, hearing preparation materials, memoranda, news clippings, draft reports, handwritten notes, and other records primarily relating to Citigroup.

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Federal Reserve Bank Documents, Response to Request #3, 02/10/2010

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Public Documents

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Federal Reserve Bank Documents (Citi) Response to 2/10/2010 Request #1, Vol. 1 (cont'd.)

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Federal Reserve Bank Documents (Citi) Response to 2/10/2010 Request #1, Vol. 3
Federal Reserve Bank Documents (Citi), Response to 2/10/2010 Request #1, Vol. 4

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Federal Reserve Bank Documents (Citi), Response to 2/10/2010 Request #1, Vol. 5

Michael Easterly's Files

Box count: 13 LTA-S

Arranged in four sections: investigation, research, book, and reference and thereunder by subject
NAID: 24747016 HMS: HS1-93415366

This series contains primarily journal articles, but also news articles, court documents, handwritten notes, documents supplied by AIG, bank examiner reports, financial institution committee minutes, email printouts, Government Accountability Office and Congressional Research Service reports, congressional testimony, drafts of preliminary staff reports and the final report (referred to as the "book"), FCIC hearing transcripts, memoranda for the record, and Congressional Budget Office reports. Subjects include AIG, Fannie Mae, and the history of regulation of various financial vehicles and the financial industry in general.

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- Interview Notes
- [Administrative] Instructions
- AIG Investigation

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- Fannie Mae Investigation

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Investigations:

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Research:

- Idle Curiosity
- FCIC's Report on Corporate Governance
- Corporate Governance, General
- History of Boards of Directors (for Corporate Governance Report)
- History of Executive Compensation (for Corporate Governance Report)

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Research:

- History of Risk Management (for Corporate Governance Report)
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1998 HUD/Fed [Truth in Lending Act] TILA and [Real Estate Settlement Procedures Act] RESPA Report
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Michael Flagg's Files

Box count: 2 LTA-S

Arranged alphabetically by subject

NAID: 24747018 HMS: HS1-93407367

This series contains articles, Federal Deposit Insurance Corporation Inspector General reports, email printouts, Government Accountability Office reports, and other records. Topics include Wachovia, regulatory reform, Washington Mutual, and others.

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Bank of America

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Wachovia: Financial Documents

Wachovia: Clips

Scott Ganz's Files

Box count: 1 LGA-S

Arranged by subject

NAID: 24747020 HMS: HS1- 93407397

This series contains incoming correspondence, resumes, handwritten notes, and a briefing binder for the hearing on derivatives.

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[Resumes]

Briefing Binder: Hearing re: Derivatives, 6/30-7/1/2010

[Handwritten Notes]

Thomas Greene's Files

Box count: 20 LTA-S, 7 LGA-S

Unarranged

NAID: 24747032 HMS: HS1-93381440

This series contains news articles, court documents, handwritten notes, drafts of reports and memos, interview summaries, email printouts, and Federal Reserve Board of Governors records. Subjects include commodities trading, Federal government bailouts, Federal Reserve Bank of New York, Lehman Brothers, and Citigroup.

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U.S. Bankruptcy Court in re: New Century TRS Holdings, Inc.: Final Report of ... Bankruptcy Court Examiner

Federal Home loan Mortgage Corporation, Form 10-Q

[Miscellaneous Court Cases]

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U.S. Bankruptcy Court in re: Washington Mutual, Inc. – Final Report of the Examiner

U.S. District Court for the Southern District of New York in re: Citigroup, Inc. Bond Litigation

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Commissioners/Notes
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Forum to Explore the Causes of the Financial Crisis, 2/26-27/2010

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Hearing on Subprime Lending and Securitization and Government-Sponsored Enterprises (GSEs), 4/7-9/2010

Hearing on Subprime Lending and Securitization and Government-Sponsored Enterprises (GSEs), Briefing Book

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Hearing on Subprime Lending and Securitization and Government-Sponsored Enterprises (GSEs), Briefing Book (cont'd.)

Staff Briefing for Hearing 1, 1/13-14/2010

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The Road Ahead for the Fed, edited by John Ciorciari and John Taylor

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U.S. District Court SDNY in re: Citigroup Inc. Bond Litigation -- Amended Complaint Docs: SEC and Press Releases, vol. 1 of 3

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FCIC Hearing on the Role of Derivatives in the Financial Crisis, Supporting Documents [Miscellaneous]

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Rishi Gupta and Desi Duncker's Files

Box count: 3 LTA-S

Arranged by subject

NAID: 24747033 HMS: HS1-93381607

This series contains news clippings and scholarly articles, a draft of the preliminary investigative report on Lehman Brothers, emails, court records, Securities and Exchange Commission filings, Congressional Research Service reports, hearing statements, Government Accountability Office reports, Federal Deposit Insurance Corporation and Department of the Treasury inspector general reports, a preliminary staff report on shadow banking, drafts of sections of the final report, and industry publications. Subjects include Lehman Brothers, Fannie Mae and Freddie Mac conservatorship, the Troubled Asset Relief Program, Indy Mac, shadow banking, Clayton Holdings, and others.

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Archstone-Smith Deal

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ARS [Auction-Rate Securities] Background Materials

Robert Steele Information

T.A.R.P. [Troubled Asset Relief Program] /C.P.P. [Capital Purchase Program] Allocation

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Congressional Research Service Reports, Vol. II

Maryann Haggerty's Files

Box count: 1.3 LTA-S, 1 LGA-S

Arranged by subject

NAID: 24747034 HMS: HS1-93381643

This series contains email printouts, notes, drafts, graphics, and other records relating to the publication – in print and electronic form – of the commission's final report.

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Government Printing Office Information

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Robert C. Hinkley and Thomas Krebs' Files

Box count: 1 LGA-S, 1 LTA-S

Arranged by subject

NAID: 24747035 HMS: HS1- 93418977

This series contains handwritten notes, Federal Register regulations and proposed rules, Securities and Exchange Commission-supplied Form 10-Q for Lehman Brothers Holdings, Inc. from 2008, news articles, Goldman Sachs loan reports and data output.

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[Loan Data]

[News Articles]

[Goldman Sachs Data]

[Handwritten Notes]

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[Goldman Sachs Data]

[Regulations and Proposed Rules]

[SEC Form 10-Q, Lehman Brothers, FY2008]

[Press articles, correspondence, memos]

[Goldman Sachs Data]

Brook L. Kellerman's Files

Box count: 2.8 LTA-S

Arranged by subject

NAID: 24747036 HMS: HS1-93419067

This series contains articles, slip cases, court records, correspondence, agency-supplied documents, and other records relating to subprime mortgages, mortgage-backed securities, section 302 of the Sarbanes-Oxley Act, bespeaks caution doctrine, cease and desist orders, AIG, Bear Stearns, Lehman Brothers, and other topics.

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[Mortgage-Backed Securities] Articles
Securities and Exchange Commission Statute of Limitations
Section 2.6
10(b) – Outside Directors
Sarbanes-Oxley Section 302

Box 2 of 3

Bespeaks Caution -- Articles
Bespeaks Caution -- Cases
Cease and Desist Orders from the Office of Thrift Supervision (OTS)
Federal Reserve Documents re: AIG
BSAM [Bear Stearns Asset Management] Documents
Research for Timeline
Mortgage-Backed Securities – Offering Docs

Box 3 of 3

Documents in the Draft
Lehman
Probably Not Actually Cited, but On Point [Miscellaneous]

Sarah Knaus' Files

Box count: 8 LTA-S, 1 LGA-S

Arranged by subject

NAID: 24747037 HMS: HS1-93419114

This series contains documents used in preparation for Hearings 4 and 5, document requests, court records, email printouts, handwritten notes, financial institution-supplied documents, and other records. Subjects include Bear Stearns, American International Group, Reserve Primary Fund, Bank of New York Mellon, and others.

Folder List:

Box 1 of 9

FCIC Hearing 4: Long List Documents, Vol. 1

FCIC Hearing 4: Long List Documents, Vol. 2

FCIC Hearing 4: Short List Documents Day 1

Box 2 of 9

FCIC Hearing 4: Short List Documents Day 1 (cont'd.)

New Century of America

Hard Copy Document Requests

Transcripts (1/27/2010) Left By Feretesh

Witness File: Alan Schwartz

Witness File: Jimmy Cayne

Witness File: Tom Marano

Witness File: Brad Fox

Witness File: Karen DeNale

Randall Krosner, Chris Mayer and Jaffe

Bert Eliz

Gary Gorton

Jim Carr

D.A. NY

Reserve Primary Fund

Document Request: Goldman Sachs

[Handwritten Notes]

Box 3 of 9

Merrill [Lynch] Analyst Reports (Reviewed by Susan M.)

Document Requests: Background File

Box 4 of 9

Hearing 5: Complex Financial Derivatives (Document Request Letters & Responses)

G. Park Emails (AIG) – Hearing 5

Knaus

Box 5 of 9

Reserve Primary Fund, RMCI 738-1532

Bear Stearns Prep: Sam Molinaro

Bear Stearns Prep: Tom Marano

Bear Stearns Prep: Mike Alix

Bear Stearns Prep: Jimmy Cayne

Hearing 5 Background: AIG

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ACA ABACUS 00000001 – ACA ABACUS 00001029 (1 of 2)

ACA ABACUS 00000001 – ACA ABACUS 00001029 (2 of 2)

Box 7 of 9

[Bank of New York] Mellon Production

Cassano Documents I

Cassano Documents II

Kevin McGinn Prep

Forster/Cassano Prep

Box 8 of 9

AIG Credit Risk Committee Approval Memos

Securities and Exchange Commission Cox/Donaldson Speeches & Testimony

Cox/Donaldson, Vol. II

Box 9 of 9

AIG Conference Call Transcripts

Documents from Hearing 4

Bear Stearns Articles

Jay N. Lerner's Files Relating to Lehman Brothers

Box count: 11 LTA-S, 1 LGA-S
Arranged by subject
NAID: 24747038 HMS: HS1-93419186

This series contains agency- and Lehman-supplied documents, court records, interview notes and summaries, correspondence, congressional committee records, articles, and other material relating to Lehman Brothers' bankruptcy. Some records also relate to General Electric, Fairfield Greenwich, and Bear Stearns.

Folder List:

Box 1 of 12

Lehman Bankruptcy: Miscellaneous
Lehman Bankruptcy: Sections I, II, III.A.1
Lehman Bankruptcy: Section III.A.2
Lehman Bankruptcy: Section III.A.3
Lehman Bankruptcy: Section III.A.6
Lehman Bankruptcy: Section III.B and C
Lehman Bankruptcy: Appendices 1 – 7 and 15
[Repurchase Agreement] 105

Box 2 of 12

Lehman Witnesses, General
Lehman Witnesses:
 Bill Schlich (Ernst & Young)
 Martin Kelly
 Ed Grieb
 Bart McDade
 Erin Callan
 Dick Fuld
 Lehman Lawyers
House Financial Services Committee Hearing, 4/20/2010; House Oversight & Government Reform Committee Hearing, 10/06/2008

Box 3 of 12

Lehman Derivatives
[Lehman Timeline]
[Drafts of Investigative Report on Lehman Brothers]
Lehman
Tom Krebs' File on Lehman and [Repurchase Agreement] 105

Box 4 of 12

Lehman Articles

Lerner

[Court Records]

[Documents Supplied by Lehman Brothers]

Box 5 of 12

[Documents Supplied by Lehman Brothers] (cont'd.)

Consolidated Supervised Entity (CSE) Program:

General

[Christopher] Cox / [William H.] Donaldson

[Christopher] Cox / Securities and Exchange Commission

Box 6 of 12

CSE Program (cont'd):

[Harvey J.] Goldschmid

[Annette] Nazareth

[Erik] Sirri

[Mike] Macchiaroli – [Matt] Eichner

[Henry] Paulson

[Ben] Bernanke

[Paul] Volcker

[Timothy] Geithner

Commercial Paper

GE Capital

GE Capital-Background

Box 7 of 12

GE Capital-Transcripts

Fairfield Greenwich

Clayton Holdings

Box 8 of 12

Bear Stearns

Repurchase Agreements

Auction-Rate Securities

Money Markets

Box 9 of 12

Reserve Primary-Lehman

CPFF [Commercial Paper Funding Facility] – Treasury

TLGP [Temporary Liquidity Guarantee Program]-FDIC [Federal Deposit Insurance Corporation]

Shadow Banking

Hearing 4 -- May 2010

Henry M. Paulson, Jr. Testimony, 5/6/2010

Robert Rubin Interview, 3/11/2010

Charles Prince Interview, 3/17/2010

Lerner

Box 10 of 12

[JP Morgan Chase]

[Miscellaneous]

[Publications]

[Handwritten Notes]

[President's Working Group on Financial Markets and Agencies re: Private Pools of Capital]

FCIC – January Hearings

FCIC – February Hearings

Box 11 of 12

FCIC – February Hearings (cont'd.)

Short Selling

Hedge Funds – Congressional Testimony

Hedge Funds

Box 12 of 12

Hedge Funds (cont'd.)

Hearing 6 – Derivatives

Excess Risk – Magnetar

Derivatives – Goldman Sachs

Michael Burry – Scion

AIG – Hank Greenberg

Julie Marcacci's Files

Box count: 1.4 LTA-S

Arranged by volume number, handwritten notes unarranged

NAID: 24747039 HMS: HS1- 93419240

This series contains volumes 1-5 of Lehman Brothers Examiner Report (per Lehman Brothers bankruptcy case of 2010) and handwritten notes.

Folder List:

Box 1 of 2

[Unlabeled Handwritten Notes re: Lehman Brothers]

Lehman Brothers Examiner Report, volumes 1-4

Box 2 of 2

Lehman Brothers Examiner Report, volume 5

Courtney Mayo's Files

Box count: 2 LTA-S, 0.5 LGA-S

Arranged by subject

NAID: 24747040 HMS: HS1- 93419270

This series contains transcripts of the public hearings, notes of conversation with Stephanie Kaplan and Philip Zelikow of the 9/11 Commission about its processes and lessons learned, news articles, witness lists, FCIC administration, including Westlaw subscription service and logistics of hearings.

Folder List:

Box 1 of 3

FCIC Public Hearing Transcript, 9/23/2010 (2 copies)

FCIC Hearing Transcript re: Credibility of Credit Ratings, the Investment Decisions Made Based on Those Ratings, and the Financial Crisis, 9/7/2010

Box 2 of 3

FCIC Hearing Transcript re: Credibility of Credit Ratings, the Investment Decisions Made Based on Those Ratings, and the Financial Crisis, 9/7/2010

Commission Hearings, 9/7/2010

9/11 Commission

[Handwritten Notes]

[Unlabeled]

WestLaw

Hearing Logistics

Box 3 of 3

Hearing: Locations

Miami and Sacramento Field Hearings

Bakersfield and Las Vegas Hearings

Additional Bakersfield Testimony

H[earing] 7

July 28-29 FCIC Meeting

Hearing 5 (New York City)/Retreat

Hearing 5

Hearing 4

Research Symposium

Hearing 1 (1/13-14/2010)

Witness List

Carl McCarden's Files

Box count: 6 LTA-S, 3 LGA-S

Arranged by subject

NAID: 24747041 HMS: HS1-93419942

This series contains news articles, Countrywide statistical data, handwritten notes, court records, earnings reports and press releases, industry publications, derivative valuations, FCIC personnel materials. Also included are records of staff member Beneva Schulte. Subjects include Countrywide Financial Corporation, Morgan Stanley, and Goldman Sachs.

Folder List:

Box 1 of 9

“Countrywide Financial: Corp. Credit Risk Committee, 3/21/2005”

Key Articles Used in Countrywide Preliminary Investigative Report

Morain - Countrywide Files – Documents Reviewed for Case Study Report [I & II]

[Handwritten Notes]

Box 2 of 9

Countrywide FLAG Lawsuit

AIG Research – Relevant Litigation Tom Grober Data

Documents Produced by Joseph St. Denis

Box 3 of 9

Key New York Fed Emails re: AIG Failure

AIG Debt Owed to U.S. Government

AIG – Greenberg

Derivatives Hearing: Documents from FrontPoint (Steve Eisman), Produced April 2010

Countrywide Financial Corp – Analyst Reports

Key Countrywide Financial Corp. Emails used in Preliminary Investigative Report and Book

Box 4 of 9

Countrywide Financial 2006 Earnings Releases & Transcripts

Countrywide Financial Earnings Call Transcripts 2007

“Countrywide 2007 Strategic Plan & Forecast Summary, February 2007”

[Miscellaneous Documents]

Box 5 of 9

Morgan Stanley

Freddie Mac

[Miscellaneous Records]

CLSA publications: Initiation of Coverage and Industry Outlook

[Handwritten Notes]

Box 6 of 9

FNMA Early and Later Warning Reports 2006
FNMA Early and Later Warning Reports, 2008
Rosenblatt Documents
Morgan Stanley Research Reports
Bernstein Research: Morgan Stanley/Fannie Mae

Box 7 of 9

Morgan Stanley Earnings Call Transcripts & Press Releases: Q1 2007 – Q3 2009
Goldman Sachs
Jonathan Egol/Peter Ostrem

Box 8 of 9

David Lehman/Jonathan Egol/Peter Ostrem
Egol
[Rating Changes Charts]
[Handwritten Notes]
Exhibits to Summary of Investigative Report [re: Goldman Sachs]
Goldman Sachs Abacus 2004-1
Goldman Sachs Abacus 2006-8
Goldman Sachs Abacus 2007-18
[Miscellaneous Goldman Sachs]
Appendices to March 1, 2010 Letter of Goldman Sachs

Box 9 of 9

[Miscellaneous Goldman Sachs]
Beneva Schulte Files:

- Hearings, General
- Hearing One
- Day 1+ Day 2 Fact Sheets
- Hearing 2
- Glen Sears
- Hearing One – Comm Plan
- Background Information
- Fact Checkers
- Hearing 4
- Hearing 2/3
- Hearing 5 and 5A
- Detailees
- Staff Hires
- Personnel Potentials
- Personnel
- Senior Staff Meetings
- Forum Takeaways
- Hypothesis

McCarden

Grid

Bruce McWilliams's Files

Box count: 20 LTA-S

Arranged roughly by subject

NAID: 24747042 HMS: HS1-93420201

This series contains statistics, drafts of staff investigative reports, congressional committee exhibits, Congressional Research Service reports, agency- and financial institution-supplied records, Securities and Exchange Commission filings, court records, email printouts, bank examiner reports, articles, and other records. Topics include risk, rating agencies, the Community Reinvestment Act, Citigroup, Wachovia, Moody's, Wells Fargo, National City Corporation, Fremont Investment and Loan, and others.

Folder List:

Box 1 of 20

Jeff Gates, *Guilt by Association* (Santa Barbara: State Street Publications, 2008)

Moody's 10Ks, 1998-2009

Rating Agencies Documents

Box 2 of 20

Rating Agencies Documents (cont'd.)

Brian Clarkson

Rating Agency Document

Buffet

Fons – Buffet

Corporate Library

Witnesses

Parmalat

Congressional Research Service Paper on Community Reinvestment Act

Share Holding – Buffet/Moody's

Michalek Testimony

Cifuentes Testimony

Kolchinsky

Cox Testimony

Investment Company Institute – Securities and Exchange Commission Testimony

Rating Agency Articles

Witness Not Used

Compensation

Rating Agencies Hearing: Permanent Subcommittee on Investigations Documents on
Community Reinvestment Act Hearing

Box 3 of 20

Rating Agencies Hearing: Permanent Subcommittee on Investigations Documents on
Community Reinvestment Act Hearing (cont'd.)

Rating Agency Document 2

[Articles]

[Federal Reserve]

Box 4 of 20

Clayton Holdings

Russell

PIMPCO

[Dreyfus]

Riversource

Securities and Exchange Commission Suit Against Reserve Fund

Moody's Fund Stuff

Moody Fees

[Citi Documents]

[Citi] '07

Box 5 of 20

[Citi Form 10Q] March 2008 [through] June 2009

[Citi]

Office of the Comptroller of the Currency about Citi

Citi Interview Notes

“Citigroup Saw No Red Flags...” NY Times

GCIB Corp

Short Sale Information

Tier 1 Calculations

Risk-based Capital Guidelines

Capital Chart

Federal Register R[isk]- B[ased] C[apital]

[Federal Reserve Board/Office of the Comptroller of the Currency] FRB/OCC Operational Risk
Management 2006

[Federal Reserve Board] FRB – [Citigroup] Inspection 2007

[Federal Reserve Board] FRB – [Citigroup] Annual Report of Inspection 2006

Citi – Call Report 12/2009

Box 6 of 20

Moody's 10 Qs

Securities and Exchange Commission Credit Rating Agency Documents

Moody's: Corporate Library Articles

Box 7 of 20

Moody's Proxy Statements

Moody's Form DEF14A for Period Ending 4/22/2008

Moody's Court Cases

McWilliams

Academics

Chris Laursen Notes

AIG – FRBNY [Federal Reserve Bank of New York] Document

13-3 Regulations

Fed [Federal Reserve Board] Document Request

Box 8 of 20

TBTF [Too Big to Fail] Various Notes/Program

Let – Mark to Markets

Barnes Interview

Ganz Paper

Leech Testimony

Citi Stock Offer

[Miscellaneous Citigroup Documents]

[Citigroup 8-K Report, 10/13/2009]

[Citigroup] 10-K 2006

[Citigroup] 10-K 2005

Box 9 of 20

[Executive Compensation]

Prince Interview

12 CFR Part 225, App. E, Market Risk Measure

Citi Subsidiaries

[Citigroup 8-K Report, 1/23/2009]

[Citigroup 10-Q Reports, 2007]

Citi Interrogatories

[Citigroup] 10-K, 2009

[*Large Financial Institutions' Perspectives on Risk*, 2/20/2007 from Federal Reserve Bank of New York]

[Citi Senior Supervisor's Group Risk Management Self-Assessment]

[Federal Reserve Bank of New York Examiners' Reports re: Citi]

Box 10 of 20

[Draft of "Forum to Explore the Causes of the Financial Crisis," 2/26-27/2010]

[Federal Reserve Reports, Speeches, Timeline]

[Wachovia-Supplied Documents]

[Moody's-Supplied Material]

Box 11 of 20

[Moody's-Supplied Material] (cont'd.)

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[Moody's-Supplied Material] (cont'd.)

[Wachovia-Supplied Documents]

[Briefing Book for Sacramento Field Hearing]

Box 13 of 20

[Federal Reserve Examiner Report on Wells Fargo]
[Moody's-Supplied Material]

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[Moody's-Supplied Material] (cont'd.)

Box 15 of 20

[Moody's-Supplied Material] (cont'd.)
[National City Corporation]
[Fremont Investment and Loan]

Box 16 of 20

[Fremont Investment and Loan] (cont'd.)
[Moody's-Supplied Material]
[Wachovia]
[Federal Reserve Bank of New York Material re: Lehman Brothers]
[Too Big to Fail]

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[Federal Reserve]
[Federal Reserve Reports re: Bank of America]
[Federal Reserve Documents re: Wachovia]
[Wachovia 10-Qs]
[Wachovia 10-K and Annual Report, 2007]

Box 18 of 20

[Hedge Funds Reports from President's Working Group on Financial Markets]
[Too Big to Fail]
[Securities and Exchange Commission Oversight of Bear Stearns]
[Final Report Sections: Drafts]
[Miscellaneous]

Box 19 of 20

[Miscellaneous] (cont'd.)

Box 20 of 20

[Miscellaneous] (cont'd.)

Joel Miller's Files

Box count: 1 LGA-S, 1 LTA-S

Arranged by subject

NAID: 24747044 HMS: HS1-93420623

This series contains handwritten notes, preliminary staff reports, news articles, Florida state investigation records, President's Working Group on Supervision records, and printed regulations.

Folder List:

Box 1 of 2

Annuities

Bank Sweeps

Broker-Dealer Insolvency

Brokered Deposits

Cash Collateral Pools

CDARS

Collective Investment Funds

Commercial Paper

Complex Structured Finance

Credit Underwriting

Enhanced Cash Fund

FHLBs [empty]

Hedge Funds

Home Equity

ILCs [Industrial Loan Companies]

Interview Notes

Wholesale Funding/Shadow Banking:

Real Estate Lending Standards

Repo

Reserve Primary Fund

Securities Lending

Box 2 of 2

Shadow Banking

SIVs [Structured Investment Vehicles]

Ultra-short Funds

Supervision and Regulation

FCIC General Info

State and Local Government Investigations

Florida Materials

Money Market Funds

Money Market Funds 2007-2008 Support

Steven L. Mintz's Files

Box count: 1 LTA-S

Arranged by document type

NAID: 24822113 HMS: HS1-93420653

This series contains handwritten notes taken during interviews, court records, Department of Justice press releases, and an essay titled "The Panic of 2007."

Folder List:

Box 1 of 1

[Handwritten Notes]

Department of Justice Press Releases

Litigation

"The Panic of 2007"

Clara Morain's Files

Box count: 3 LTA-S

Arranged by subject

NAID: 24822117 HMS: HS1-93420724

This series contains email printouts, court records, news articles, and Fannie Mae documents.

Folder List:

Box 1 of 3

Hearing and Briefing Binder: Hearing on Subprime Lending and Securitization and GSEs

Fannie Mae Investigation: Treasury Dept. Documents

Fannie Mae Research: Warning Reports [1 of 2]

Box 2 of 3

Fannie Mae Research: Warning Reports [2 of 2]

Fannie Mae: Selected Documents

Fannie Mae Research: Research Reports, Earnings Release, Earnings Call Transcripts

FHFA (OFHEO) Info on 3/19/2008 Announcements

Document Request: Fannie Mae

Valukas Report Excerpts and Documents re: Citi [2 of 4]

Box 3 of 3

Valukas Report Excerpts and Documents re: Citi [3 of 4]

Key Documents Re: Warnings About Fannie Mae

Gretchen Newsom's Files

Box count: 1 LTA-S, 2 LGA-S

Arranged by subject

NAID: 24822118 HMS: HS1-93479274

This series contains email printouts, memoranda, vouchers and other administrative records, articles, handwritten notes, and other records. Subjects include the organization, administration, and logistics of the commission, especially budget, arrangements for the hearings, and the rollout of the final report.

Folder List:

Box 1 of 3

FCIC Budget

Rollout Location

Rollout

Book Outline

9/11 Commission

Hearing Sites

Communications

FCIC – Tickler File

Senior Staff Meetings

Website

[Hearings of 6/30-7/1/2010]

[Handwritten Notes]

Congressional Correspondence

Working Groups – TBTF [Too Big to Fail]

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White Board -- Implementation

Hearing 1

Hearings 2 and 3

Hearing 4: Shadow Banking

Hearings 5 and 5a

Hearing 6: Excess Risk

Las Vegas

Key Goldman Sachs Articles

FCIC-General Services Administration

Box 3 of 3

[Ethics and Rules]

[Correspondence]

[Staffing/Personnel]

[Report Outlines/Drafts]

[Commission Meetings and Organization]

[Research]

Dixie Noonan's Files

Box count: 13.2 LTA-S, 1 LGA-S

Arranged by subject

NAID: 24822120 HMS: HS1-93479342

This series contains reports, presentation materials, handwritten notes, press releases and clippings, earnings call transcripts, data supplied by financial institutions, testimony, published industry reports, congressional hearing transcripts, briefing books, correspondence, court filings, and other records. Subjects include AIG, JPMorgan, the Depository Trust and Clearings Corporation, the Federal Reserve Board, Deutsche Bank, the Presidential Working Group on Financial Markets, and many others.

Folder List:

Box 1 of 15

AIG-12/5/07 Disclosures-02/2008 Disclosures
[Handwritten Notes]

Box 2 of 15

JPMorgan Miscellaneous
JPMorgan -- 2010 Investor Day Powerpoints
JPMorgan Articles
JPMorgan Financials
JPMorgan: TARP; Government Warrants; OCC [Office of the Comptroller of the Currency]
Derivatives Report

Box 3 of 15

Depository Trust & Clearing Corporation, Documents Produced
JPMorgan Articles, Vol.1
Jamie Dimon Articles (JP Morgan) Vol. 1
JPMorgan Chase Research Reports Vol. 1
JPMorgan Chase: Earnings Call Transcripts & Press Releases, Q1 2007-Q3 2009

Box 4 of 15

FRB [Federal Reserve Board] Speeches and Testimonies
Speeches and Testimony: Gramlich, Spillenkothen, Cole of Federal Reserve Bank
Randall Krosner, Governor of Federal Reserve Board, Select Speeches & Testimony, 2008 –
2009
Mortgage Lending Regulatory Reforms
Documents from Cassano's Lawyers

Box 5 of 15

Alan Greenspan Public Speeches (1994-2005)
Federal Reserve/Greenspan DLN [Dixie L. Noonan] Working Binder

Noonan

Federal Reserve/Greenspan

Box 6 of 15

[Andrew] Forster Interview Documents
Hearing 5: 05/11/2010 Interviews (Gorton/Frost)
Gene Park: Interview Prep/Docs
AIG Earnings, Call Transcripts
R. [Robert] Lewis Interview Prep

Box 7 of 15

[Pierre] Micottis Prep
Hearing 5: In re AIG 2008 Securities Litigation, Background
The Federal Reserve
Federal Reserve: Reviewed Documents

Box 8 of 15

HOEPA [Home Ownership and Equity Protection Act] Research
Sigrid & Paul Menard-First Horizon Home Loans; Request for Modification Assistance;
#0058704131
Eric Dinallo Background Information
Deutsche Bank Documents Produced 6/3/2010
Background Materials for Hearing 5 (Complex Derivatives)

Box 9 of 15

Background Materials for Hearing 5 (Complex Derivatives) (cont'd.)
Hearing 5: Complex Financial Derivatives -- Miscellaneous Documents
Hearing 5: Complex Financial Derivatives -- Miscellaneous Articles

Box 10 of 15

President's Working Group on Financial Markets Materials
Hank Greenberg
AIG SEC
AIG: Compensation Information
AIG-NYFRB [Federal Reserve Bank of New York]
ACA ABACUS 00001742 – ACA ABACUS 00003489: 1 of 3

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ACA ABACUS 00001742 – ACA ABACUS 00003489: 1 of 3 (cont'd.)
ACA ABACUS 00001742 – ACA ABACUS 00003489: 2 of 3

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ACA ABACUS 00001742 – ACA ABACUS 00003489: 3 of 3
ACA ABACUS 00003504 - ACA ABACUS 00003505: 1 of 1
ACA ABACUS 00003528 - ACA ABACUS 00003529: 1 of 1
ACA ABACUS 00003530 - ACA ABACUS 00003531: 1 of 1
ACA ABACUS 00003532 - ACA ABACUS 00003533: 1 of 1

Noonan

ACA ABACUS 00003534 - ACA ABACUS 00004363: 1 of 2

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ACA ABACUS 00003534 - ACA ABACUS 00004363: 2 of 2

ACA ABACUS 00004376 – ACA ABACUS 00004377: 1 of 1

ACA ABACUS 00004378 - ACA ABACUS 00004381: 1 of 1

AIG Public Filings

Box 14 of 15

AIG Public Filings (cont'd.)

[Court Documents re: Consolidated Class Action Suit Against AIG]

Box 15 of 15

[Court Documents re: Consolidated Class Action Suit Against AIG] (cont'd.)

[AIG Amendment to Form 8-K/A]

Donna Norman's Files

Box count: 6 LTA-S

Arranged by subject

NAID: 24822170 HMS: HS1-93479414

This series contains news articles, handwritten notes, documents provided by Goldman Sachs, minutes of AIG Board of Directors' meetings, drafts of FCIC staff reports, and AIG's credit default swap transaction documentation. Subjects include AIG, Goldman Sachs, JP Morgan, credit default swaps, and shadow banking.

Folder List:

Box 1 of 6

Citigroup Articles

AIG ISDAs [International Swap Dealers Association, Inc.]

Non-Abacus Goldman/AIG [Credit Default Swaps]

Box 2 of 6

Goldman Sachs Documents

Box 3 of 6

Goldman Sachs Documents (cont'd.)

Draft Staff Reports, Jan-June 2010

Box 4 of 6

Draft Staff Reports, Jan-June 2010 (cont'd.)

AIG Board Minutes

Eric Dinallo Background Information

AIG Cassano Documents

Box 5 of 6

AIG Documents 7 CDS for Abacus, 5/10/2010

Norman Notes

Box 6 of 6

Norman Notes (cont'd.)

Shadow Bank Hearing

Office of Inspector General, SEC's Oversight of Bear Stearns and Related Entities: The Consolidated Supervised Entity Program

J.P. Morgan Board Materials and Internal Audit Reports, Binder

Adam Paul's Files

Box count: 0.2 LGA-S

Arranged by subject

NAID: 24822171 HMS: HS1- 93479517

This series contains the employee handbook and ethics guidelines, notes on meetings of the Federal Reserve Board's Federal Open Market Committee, and handwritten notes taken during interviews.

Folder List:

Box 1 of 1

[Employee Handbook and Forms]

[Federal Reserve Board's Open Market Committee (FOMC)]

MFR Notes

Jane Poulin's Files

Box count: 6 LTA-S

Arranged by subject

NAID: 24822172 HMS: HS1-93479564

This series contains news articles, email printouts, company 10-K and 10-Q forms, oversight reports, court documents, correspondence, and other records relating to fair value accounting, overstock.com, taxing derivatives, and short sales.

Folder List:

Box 1 of 6

Report of the Financial Crisis Advisory Group, 7/28/2009

Fair Value Accounting Research Papers

SEC's Fair Value Study

SEC Form 10-K Annual Reports on Federal Home Loan Banks

Box 2 of 6

Accounting Investigation Supporting Documents

Merrill Lynch Testimony

Records re: Overstock.com

Taxation of Derivatives

Box 3 of 6

Naked Short Selling

FASB [Financial Accounting Standards Board] Standards, Etc.

"Naked Short Selling: The Problem and the Solution," National Press Club, 12/9/2008

"Fun With Fails: The Topography of Unsettled Trades in U.S. Stock Markets," John W. Welborn, April 2010

"Naked Short Selling and the Options Market Maker Exception," Jonathan E. Johnson III & John W. Welborn, 5/19/2009

[Fails to Deliver]

Box 4 of 6

Fannie Mae 10-K, 2008

Hearing 2 Fannie Mae Working Binder

Merrill Lynch 10-K

Box 5 of 6

Document Requests and Receipts

Bank of America 10-Q

Citigroup 10-Q, June and September 2009

AIG Annual 10-K, 2008-2009

Poulin

Box 6 of 6
Goldman Sachs 10-K, 2009

Steve Sanderford's Files

Box count: 0.4 LTA-S

Unarranged

NAID: 24822173 HMS: HS1-93479612

This series contains news articles and scholarly articles relating to the Basel Capital Accord, risk-based capital requirements for mortgage loans, and regulatory capital arbitrage.

Folder List:

Box 1 of 1

Capital Arbitrage

Kim Shafer's Files

Box count: 2 LTA-S

Arranged by subject

NAID: 24822174 HMS: HS1-93527902

This series contains the briefing book for June 30-July 1, 2010 hearing regarding the role of derivatives in the crisis which includes witness statements, questions for witnesses, draft summary of preliminary investigations of AIG and Goldman Sachs. Also included in the series are research and investigative plans for the derivatives hearing, with drafts; draft reports; email printouts; interview transcripts; draft document requests. Subjects are primarily derivatives and rating agencies.

Folder List:

Box 1 of 2

Briefing Binder: Hearing on the Role of Derivatives in the Financial Crisis, 6/30-7/1/2010

Derivatives PSR [Preliminary Staff Report]

Interview Exhibits

CDO Investors

DTCC [Depository Trust & Clearing Corporation]

Deriv

Deriv Data

Deriv & CDO & League Data

Amplification

CDO Interrogs

Box 2 of 2

Rating Agencies

DTCC [Depository Trust & Clearing Corporation]

DTCC [Depository Trust & Clearing Corporation] 2009 Annual Report

Miscellaneous (Derivatives and CDOs)

Gordon Shemin's Files

Box count: 4 LTA-S, 1 LGA-S
Arranged roughly by subject
NAID: 24822175 HMS: HS1-93527952

This series contains industry publications, SEC documents, documents supplied by Merrill Lynch and Fannie Mae in response to FCIC requests, and handwritten notes. Subjects include Merrill Lynch and Fannie Mae.

Folder List:

Box 1 of 5

“Moody’s: The First Hundred Years,” by David Stimpson
Magnetar [Capital LLC/ Norma CDO I Ltd]
[Merrill Lynch Reports from 2007 Re: Subprime CDOs...]
[Merrill Lynch CDO Documents]
[Miscellaneous Merrill Lynch Documents]

Box 2 of 5

[Miscellaneous Merrill Lynch Documents] (cont’d.)
COGR [House Committee on Oversight & Government Reform] Hearings on Merrill Lynch --
Bank of America Merger
[Handwritten Notes]
Legal: Quote Clearing and MFR Objections [2 files]

Box 3 of 5

Fannie Mae MFRs
Dept. of Treasury OIG Inquiry Re: Development and Promulgation of IRS Notice 2008-83
VHS Tape: Confidential Exhibit H “Citi Financial Customer First Workshop Jan. 2003”
Connecticut Law Review, May 2007
Wachovia Documents

Box 4 of 5

Wachovia Documents (cont’d.)
Fact Checking

Box 5 of 5

SEC Documents re: Merrill Lynch
SEC OPSRA [Office of Prudential Supervision and Risk Analysis] Memos
Merrill Lynch

Stuart C. Shroff and Peter Kavounas' Files

Box count: 1 LGA-S

Arranged by subject

NAID: 24822205 HMS: HS1-93419037

This series contains responsive documents, notes, drafts, bank examiner reports, and others. Subjects include collateralized debt obligations and rating agencies.

Folder List:

Box 1 of 1

[CDO Ratings]

[MKP Capital Management]

[Warehouse Agreement]

[Moody's-Supplied Documents]

[Miscellaneous Industry-Supplied Documents]

[Miscellaneous Correspondence and Document Request Responses]

Alexis Simendinger's Files

Box count: 1 LTA-S, 1 LGA-S

Arranged by subject

NAID: 24822206 HMS: HS1-93528004

This series contains files of one of the writers on the team that wrote the Final Report. The records include press releases about hearings and forums, news articles, a compilation of quotes for use in the Final Report, email printouts, handwritten notes, Simendinger's calendar, and a draft of sections of the Final Report.

Folder List:

Box 1 of 2

[Unlabeled]

[Republican Commissioners]

FCIC Internal Memos

Alexis Simendinger Notes [handwritten notes]

FCIC Interview Notes- Simendinger (Writer)

FCIC Writers' Door Art

SKED- Alexis Interviews

FCIC News Releases- Hearings

FCIC Quotes for Report

Box 2 of 2

FCIC "Conclusions" (Report), Conclusions Drafts, Simendinger- Drafts Conclusions

Final Report of the FCIC

Mina Simhai's Files

Box count: 9 LTA-S, 2 LGA-S
Arranged roughly by subject
NAID: 24822222 HMS: HS1-93528072

This series contains published research and articles, email printouts, handwritten notes, Bear Stearns minutes and correspondence, court documents, and hearing briefing binders. Subjects include Fannie Mae, Ralph Cioffi, Bear Stearns, Sarbanes – Oxley, shadow banking, and others.

Folder List:

Box 1 of 11

[Fannie Mae]
Sarbanes – Oxley

Box 2 of 11

Sarbanes – Oxley (cont'd.)
[Published Research Papers]

Box 3 of 11

House of Cards: A Tale of Hubris and Wretched Excess on Wall Street by William C. Cohan
SEC -- [Ralph] Cioffi Documents, Vol. I
SEC -- [Ralph] Cioffi Documents, Vol. II

Box 4 of 11

SEC -- [Ralph] Cioffi Documents, Vol. II
[Ralph Cioffi, Miscellaneous]
Cioffi Collateral Emails
Bear Stearns Asset Management Investor Materials

Box 5 of 11

Bear Stearns Asset Management Investor Materials (cont'd.)
Bear [Stearns] Materials for Book
[Miscellaneous Bear Stearns]

Box 6 of 11

[Miscellaneous Bear Stearns] (cont'd.)
Emails from Alan Schwartz
Documents: Robert Upton Quotes

Box 7 of 11

Background Articles on Shadow Banking
FCIC Hearing on the Shadow Banking System, May 5-6, 2010, Commission Documents, Day 1

Simhai

Box 8 of 11

Document Production for Minutes and Supporting Documentation for Bear Stearns Board of Directors Meetings, BSC-FCIC 000000001 – BSC-FCIC 00000262
Minutes and Memoranda relating to Bear Stearns Companies Inc, Board of Directors December 12, 2007 Meeting
Bear Stearns 10-K and 10-Q 2007-2008
Robert Upton: Search Results from Alan Schwartz's Emails

Box 9 of 11

Robert Upton: Search Results from Alan Schwartz's Emails (cont'd.)
Shadow Banking and Bear Stearns
CSE [Consolidated Supervised Entity Program]
OPSRA [Office of Prudential Supervision and Risk Analysis] Securities and Exchange Commission

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Repos [Repurchase Agreements]
Hearing 4 Background Materials: The Shadow Banking System

Box 11 of 11

[Notes re: Housing]
[Handwritten Notes]
[Maiden Lane]
Lehman Brothers Inc.
Hearing 2 Background Materials Federal Reserve

Jeffrey Smith's Files

Box count: 1 LGA-S, 1 LTA-S

Arranged by subject

NAID: 24822223 HMS: HS1-93528148

This series contains email printouts, handwritten notes, documents supplied by Wells Fargo and Wachovia regarding derivatives, and documents supplied by the Federal Deposit Insurance Corporation regarding mortgage fraud.

Folder List:

Box 1 of 2

[Unlabeled]

Miscellaneous

Wells Fargo and Wachovia Productions

[Handwritten Notes]

Box 2 of 2

FDIC Mortgage Fraud Production

Thomas H. Stanton's Files

Box count: 9.4 LTA-S, 1 LGA-S
Arranged roughly by subject
NAID: 24822224 HMS: HS1-93528197

This series contains email printouts, handwritten notes, documents responsive to requests for information, draft findings, articles, industry-created data, Securities and Exchange Commission filings, briefing books, and other records. Subjects include preemption, housing goals, Fannie Mae and Freddie Mac, causes of the financial crisis, accounting practices, and others.

Folder List:

Box 1 of 11

Preemption

U.S. Commission on Civil Rights Initial Production: Relevant Documents

U.S. Commission on Civil Rights Supplemental Production: Relevant Documents

Summary of Investigative Findings on the Office of the Comptroller of the Currency and
Preemption

[Memorandum for the Record: Susan Mills, 2/3/2010]

[Robert Monks]

[Preliminary Results of the Residential Mortgage Lender Peer Group Analysis, 11/1/2005]

[Office of the Comptroller of the Currency]

[Lisa Madigan]

[Bank of America Production]

[Office of Thrift Supervision]

[Goldman Sachs 10-K, 2009]

[Housing and Urban Development Correspondence to Fannie Mae and Freddie Mac, 4/24/2008]

Box 2 of 11

[Citi]

[AIG]

[Federal Housing Finance Agency Documents]

[Securities and Exchange Commission Memo, 4/6/2009]

[Federal Reserve Bank of New York Document]

[Working Papers]

[Franklin Raines' Statement, 11/9/2010]

[Memorandum for the Record: Murray Barnes]

[Janet Yellin Interview, 11/15/2010]

[Memorandum for the Record: Michael Alix, 4/8/2010]

[Rich Spillenkothen, 3/31/2010]

[Peter Wallison Draft Dissent, 12/17/2010]

[Fannie Mae/Freddie Mac]

Box 3 of 11

[Fannie Mae/Freddie Mac] (cont'd.)
Briefing Book for the Forum to Explore the Causes of the Financial Crisis, 2/26-27/2010
[Lehman Brothers]
[Wachovia]
[Department of the Treasury]

Box 4 of 11

[Madelyn Antoncic – Lehman Brothers]
Final Report of the Financial Crisis Inquiry Commission [Country Case Studies, Draft #2]
8/12/2010
[Testimony of the Center for Responsible Lending]
[U.S. Bankruptcy Court for the Delaware District in re: New Century TRS Holdings, Inc.]
[Articles and Publications]

Box 5 of 11

[Articles and Publications] (cont'd.)
Origination Practices: Company Documents, Statements, Cases

Box 6 of 11

[Standard & Poor's Summary of Lehman Brothers, 4/3/2008]
[Documents from AIG]
[Citigroup re: Liquidity Put Valuation]
[Documents from the Office of Federal Housing Enterprise Oversight]
[Documents from the Securities and Exchange Commission]
[Documents from the Office of the Comptroller of the Currency]
[Lehman Brothers: Default Scenario]
[Treasury Department Document "Fannie Mae Insolvency and Its Consequences"]
[Documents from the Federal Housing Finance Agency]
[Document from Federal Deposit Insurance Corporation: "Initial Risk Analysis of Bank Holding Companies with Trust Preferred Securities"]
[Documents from Citi]
[Documents from the Federal Reserve Bank of New York]

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[Documents from the Federal Reserve]
[Documents from Fannie Mae and Freddie Mac]

Box 8 of 11

[Documents from Fannie Mae and Freddie Mac] (cont'd.)
[Articles and Publications]

Box 9 of 11

[Working Papers]
[People of California v. Countrywide Financial Corporation]
[Securities and Exchange Commission v. Mozilo, Sambol, and Sieracki]

[Memo re: Interview with Adolfo Marzol]
[Memorandum for the Record: Bob Lewis, 6/15/2010]
[Memorandum for the Record: Kevin McGinn, 6/10/2010]
[Memorandum for the Record: Anurag Saksena, 6/22/2010]
[Memorandum for the Record: Mike Quinn, 3/10/2010]
[Memorandum for the Record: Charles Prince, 3/17/2010]
[Memorandum for the Record: Jim Embersit, 9/24/2010]
[Memorandum for the Record: Vikram Pandit, 3/11/2010]
[Memorandum for the Record: Pat Parkinson, 3/30/2010]
[Statement of James B. Lockhart, 4/9/2010]
[Statement of Daniel H. Mudd, 4/9/2010]
[Henry Paulson Interview Excerpts, 4/2/2010]
[Interview of David Bushnell, 4/1/2010]
[Interview with Dugan]
[Interview of Brian R. Leach, 3/4/2010]
[Interview of Jay Eisbruck, 4/19/2010]
[John G. Stumpf]
[Draft: Role of Accounting During the Financial Crisis]
[Draft: The Community Reinvestment Act and the Mortgage Crisis]
[“Regulatory Inaction, Preemption, and Predatory Lending”]
[Draft: Summary of the Investigative Findings on the Office of the Comptroller of the Currency and Preemption]

Box 10 of 11

[Draft: Investigative Findings on Fannie Mae]
[Draft: Preliminary Investigative Report on Wachovia]
[Draft: Investigative Findings on Lehman Brothers]
[Draft: Preliminary Investigative Report on Countrywide]
[Draft: Preliminary Investigative Report on Credit Ratings and the Financial Crisis]
[Draft: Investigative Findings on Bear Sterns]
[Draft: Topical Investigative Report on Compensation]
[Draft: Borrowers and the Financial Crisis]
[Draft: Report on the Office of Thrift Supervision’s Supervision of Thrifts and Savings and Loan Holding Companies]
[Draft: Mortgage Fraud Update]
[Draft: Preliminary Investigative Report on the Federal Reserve’s Regulation of Subprime Mortgage Lending]
[Draft: Investigative Findings on GE Capital]

Box 11 of 11

[Draft: Preliminary Investigative Report on AIG]
[Draft: Investigative Findings on Governance, Risk Management, and the Financial Crisis]
[Draft: Preliminary Investigative Findings on Citigroup]
[“Reforming Prudential Supervision and Building a Safer Financial System”]

Landon Stroebel's Files

Box count: 1 LGA-S

Arranged by subject

NAID: 24822275 HMS: HS1-93528245

This series contains published Moody's reports about asset-backed commercial paper, news articles, handwritten notes, and hedge fund reports.

Folder List:

Box 1 of 1

SIVS [Structured Investment Vehicles] and ABCP [Asset-Backed Commercial Paper]

Notes on Market Risk Survey

Firm Level Survey Response

[Handwritten Notes]

Cash Management Pools

Hedge Fund Reports

Melana Vickers' Files

Box count: 1.4 LTA-S

Arranged by subject

NAID: 24823029 HMS: HS1-93528335

This series contains interview notes, news articles, and Federal Reserve-supplied documents. The records pertain to the Federal Reserve.

Folder List:

Box 1 of 2

Interview Notes for Netdocs

[FCIC Interviews with Susan Bies and Paul Volker]

Fed[eral Reserve] Docs

[FCIC Interview with Sabeth Siddique, 9/9/2010]

[FCIC Interview with Ben Bernanke, 11/17/2009]

The Federal Reserve System's Role in Protecting Consumers, 7/16/ 2009

The Washington Post, "Bernanke Testifies Before House Budget Committee: Hearing on Long-Term Economic Outlook" [2/28/2007]

FCIC Interview of Seth Carpenter, 9/20/2010

Box 2 of 2

FCIC Interview with Lawrence H. Summers, 5/28/2010

[Federal Reserve Document], 11/1/2005

Exhibit 1, Detailed Comments, Institutions Designated High and Moderate Risk

Memo, Sandra L. Thompson, Acting Director, FDIC, to National Risk Committee, 9/13/2006,
Risk Analysis Center Mortgage Credit Trends Project – Residential Mortgage Review
Program

Standard & Poors, Structured Finance, Issuer Alert, Increasing Option ARM Credit Support To
Address The Probability of Default, 7/26/2005

George Wahl's Files

Box count: 5 LTA-S

Arranged by subject

NAID: 24823030 HMS: HS1-93528370

This series contains news articles, court documents, published reports, email printouts, Department of Justice (DOJ) Office of the Inspector General and Federal Bureau of Investigation audits, Financial Crimes Enforcement Network reports. Also included are records relating to Florida mortgage fraud, Mortgage Bankers Association, DOJ lawsuits, and the Illinois Attorney General. The records pertain to mortgage fraud.

Folder List:

Box 1 of 5

DOJ-OIG FBI Audits
Safe Mortgage Licensing Act of 2008
Tom Doyle, MBA [Mortgage Bankers Association]
Nevada Mortgage Fraud
Eileen Foster, Countrywide
Tony Accetta, Bear Stearns
Rachel Steinmetz v. Capital One

Miscellaneous Mortgage Fraud:
IRS
Laws/Bills
Mortgage Fraud Articles
OCC
Center for Responsible Lending
Federal Reserve [1 of 2]

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Federal Reserve [2 of 2]
Mortgage Bankers Association:
 MBA Production
 MBA Reports
 MBA Document Request and Bryan Cave Emails
 MBA Fraud Meeting Minutes
 MBA and MARI [Mortgage Asset Research Institute]
 Jonathan Kempner
MARI [Mortgage Asset Research Institute]:
 MARI
 MARI Document Request
Regulating Agencies:
 FinCEN
 FinCEN Interrogatories
 FinCEN Bank Reports
 FDIC

Box 3 of 5

MF/RMBS/CDO Lawsuits
DOJ/FBI:

Wahl

Chris Swecker

FBI/DOJ

“The SAR Activity Review: Trends Tips & Issues,” Oct. 2009

“Filing Trends in Mortgage Loan Fraud”

Alberto Gonzales

DOJ [1 of 2]

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DOJ [2 of 2]

Madigan, Illinois Attorney General

[Mortgage Fraud, General]

Darcy Parmer v. Wells Fargo Docs.

Center for Responsible Lending

Box 5 of 5

Amy Stroup v. BB&T

Ann Fulmer Testimony

Florida Mortgage Fraud

Miami Field Hearing

[Orson Benn Case – Florida]

Fannie Mae/FHFA/OFHEO:

Fannie Mae

FHFA/OFHEO

OFHEO Performance and Accountability Reports, 2005-2007

House Committee on Housing and Commercial Opportunities Testimonies, 10/7/2004

Miami-Dade Police Dept

BSA [Bank Secrecy Act] Rules

Tucker Warren's Files

Box count: 1 LTA-S

Arranged by subject

NAID: 24823031 HMS: HS1-93528406

This series contains handwritten notes, website screen shots, drafts of a section of the final report, and a briefing binder for the Commission's Jan. 27, 2011, meeting. Subjects include the Commission's website, the rollout and media strategy for the release of the final report.

Folder List:

Box 1 of 1

[Handwritten Notes]

EPIQ Work Order

[Final Report]

Website

Flashing Yellow

[Articles]

Financial Crisis Inquiry Commission Briefing Binder, 01/27/2011 [2 copies]

Cassidy D. Waskowicz's Files

Box count: 2.5 LTA-S, 1 LGA-S

Arranged by subject

NAID: 24823032 HMS: HS1-93528441

This series contains routine administrative records of the commission as well as memoranda and some research materials. Subjects include potential referrals to the Attorney General; Wells Fargo's unassisted bid; American International Group (AIG); and the administration of the commission, especially printing the commission's final report and personnel issues.

Folder List:

Box 1 of 4

[Handwritten Notes]

General Services Administration (GSA)

Financial

FCIC Rules

Correspondence

Contractors/Epiq

Contractors/LexisNexis

Contractors/Spieler Agency

Communications

Budget

Oath of Office

Signature Cover Page

Confidentiality Agreements (Agencies)

FCIC Staff Meetings

Book Agreement

Personnel/Consultants

Personnel/Detailees

Personnel/Org[anization] Charts

Personnel/Employee Manual

Personnel/Health Care

Personnel/Hiring

Signed Staff Ethics Policies

Wells Fargo "Unassisted Bid" Research

Confidentiality Letters and Employment

Contract Issues

Box 2 of 4

Little, Brown & Company Contract

Signed Staff Confidentiality Agreements

American International Group (AIG) Research

FCIC Referrals [to Attorney General]

Box 3 of 4

FCIC Referrals [to Attorney General] (cont'd.)

[Table of Objections to Use of Quotes in Final Report]

[Miscellaneous]

Audio File Release Materials

[Alphabetical Correspondence File]

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[Alphabetical Correspondence File] (cont'd.)

Vetting Information

Sarah Zuckerman's Files Relating to Document Production

Box count: 6 LTA-S, 1 LGA-S

Arranged by subject

NAID: 24823130 HMS: HS1-93528580

This series includes correspondence accompanying responses to document production requests from the FCIC to financial institutions and government agencies, documents provided by Joseph Cassano's counsel, and incoming correspondence. This series also includes Carl McCarden's notes on the interview with Dan Sparks. Subjects include Joseph Cassano, FCIC document requests, and confidentiality of responses.

Folder List:

Box 1 of 7

Document Productions – Original Productions – Vol. 1: 3/19 and prior

Document Productions – Original Productions – Vol. 2: 3/22 – 5/13

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Document Productions – Original Productions – Vol. 2: 3/22 – 5/13 (cont'd.)

Document Productions – Original Productions – Vol. 3: 5/12 – 6/4

Document Productions -- Original Productions -- Vol. 4: 6/5 – 7/26

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Document Productions -- Original Productions -- Vol. 4: 6/5 – 7/26 (cont'd.)

Document Productions -- Original Productions -- Vol. 5: 7/27 – 8/18

Document Productions -- Original Productions -- Vol. 6: 8/20 – 10/6

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Document Productions -- Original Productions -- Vol. 6: 8/20 – 10/6 (cont'd.)

[Joseph] Cassano – Docs Provided by Cassano's Counsel

Box 5 of 7

Correspondence Regarding Legal Clearance

Misc. Correspondence

Department of Labor Documents

Goldman Sachs Production Correspondence

Box 6 of 7

Goldman Production Cover Letters and Correspondence

Dan Sparks Interview Notes (Carl McCarden)

Original Production Letters

Box 7 of 7

Federal Housing Finance Agency Document Request

Zuckerman

Documents Received from [Federal Housing Finance Agency] on 3/12
Miscellaneous Document Productions – Societe Generale and Vanderbilt Capital Advisors

General Files

Box count: 24.8 LTA-S, 6 LGA-S

Arranged by subject

NAID: 24823131 HMS: HS1-93407528

This series contains documents supplied by financial institutions and oversight agencies, Securities and Exchange Commission filings, correspondence, handwritten notes, summaries of interviews, materials supportive of commission hearings, articles, and other records. Subjects include too big to fail, Clayton Holdings, collateralized debt obligations, subprime mortgages, shadow banking, credit rating agencies, the Community Reinvestment Act, and others.

Folder List:

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Hearing 4 Documents, P[anel] 2

Hearing 2/3 Documents, Day 1

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Hearing 2/3 Hearing, Day 3

Morgan Stanley 10K Annual Report, 2006-2008

JP Morgan 10K Annual Report, 2006-2008

Box 3 of 31

Goldman Sachs 10K Annual Report, 2006-2008

Discovery - Response to Document Production Request: Bank of America

Hearing 1 – Response and Follow-up Letter: Bank of America

Correspondence: Barclays PLC

Correspondence: Bass, J. Kyle

Hearing 1 – Response to Follow-up Letter: Bass, J. Kyle

Correspondence: BNY Mellon

Discovery - Response to Document Production Request: Band of New York Mellon

Correspondence: (Texas Securities Commissioner) Crawford, Denise

Hearing 1 – Response to Follow-up Letter: Crawford, Denise Vogt

Correspondence: Deloitte

Correspondence: Department of Justice

Discovery – Response to March 8 Email Request: Department of Justice

Discovery - Response to Document Production Request: Department of Justice

Correspondence: Department of Labor

Discovery - Response to Document Production Request: Department of Labor

Discovery - Response to Document Production Request: Fannie Mae

Correspondence: Federal Deposit Insurance Corporation

Hearing 1 – Response to Follow-up Letter: Sheila Bair, Federal Deposit Insurance Corporation

Correspondence: Federal Reserve

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Correspondence: Federated Investors, Inc.
Correspondence: Fidelity Investments
Correspondence: Goldman Sachs
Hearing 1 – Response to Follow-up Letter: Goldman Sachs
Hearing 2/3 – Response to Follow-up Letter: Citigroup, Inc.
Hearing 2/3 – Response to Follow-up Letter: Greenspan, Alan
Hearing 2/3 – Response to Follow-up Letter: Levin, Robert J.
Hearing 2/3 – Response to Follow-up Letter: Mudd, Daniel H.
Discovery – Response to Document Production Request: Housing and Urban Development
Correspondence: JPMorgan Chase
Hearing 1 – Response to Follow-up Letter: JPMorgan Chase
Correspondence: Lehman Brothers
Hearing 1 – Response to Follow-up Letter: Madigan, Lisa
Correspondence: MBIA, Inc.
Correspondence: McCleskey, Scott
Correspondence: (State Street) Meier, Steve
Correspondence: Merrill Lynch
Discovery – Response to Document Production Request: Morgan Stanley
Hearing 1 – Response to Follow-up Letter: Morgan Stanley
Correspondence: Mortgage Bankers Association
Correspondence: New York State Banking Department
Correspondence: Henry M. Paulson
Discovery – Response to Document Production Request re: Bear Sterns & Lehman Brothers:
Securities and Exchange Commission
Hearing 1 -- Response to Follow-up Letter: Mary Shapiro, Securities and Exchange Commission
Correspondence: (Colorado Attorney General's Office) Suthers, John W.
Hearing 1 – Response to Follow-up Letter: Theobald, Glenn

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Bank of America 10K Annual Report 2006
Bank of America 10K Annual Report 2007
Morgan Stanley Securities and Exchange Commission Filings, Vol. 1 of 3

Box 6 of 31

Morgan Stanley Securities and Exchange Commission Filings, Vol. 1 of 3 (cont'd.)
NCUA [National Credit Union Administration] Production
NCUA [National Credit Union Administration]

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NCUA [National Credit Union Administration] 2/12 Production

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Principal Global Investors Production
Miscellaneous Research: Mike Mayo, American International Group, Federal Reserve Bank of
New York

General

Journal of Economic Perspectives – Winter 2010 – Articles
GMAC [General Motors Acceptance Corporation] Articles

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[Repurchase Agreements]
Background Articles on Shadow Banking
SEIU [Service Employees International Union]

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Citigroup Mortgage-Related Litigation, Vol. 2
Lehman Brothers Emails, Vol. 4

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Lehman Brothers Emails, Vol. 4 (cont'd.)
Lehman Brother Emails, Vol. 5
Agencies/Fed
Bailout Programs
Book/ Chapter 2
Book/Outline
Outline
Contacts/Database
Corporate Governance
Meeting with Delegation of the European
Parliament CRISIS Committee,
6/8/2010

Document Management
[Encore Discovery Solutions]
[Executive Director's] Reports
Fact Checking
Roundtable Letters
Forum
Geithner
Hearing 1
Hearing 2/3
Hearing 2/3: Housing Data
Hearing 2/3: Take-Aways

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Affordable Housing Goals
[Community Reinvestment Act] Staff Report
Greenspan Letter
[Government Sponsored Enterprises] Staff Report
Housing Investigation
Housing Staff Report
Mortgage Market Staff Report
Securitization Staff Report
Hearing 4: Shadow Banking
Shadow Banking Investigation
Shadow Banking [Research and Investigation]
Shadow Banking Take-Aways
Derivatives Research and Investigation
Credit Rating Agencies Research and Investigation Plan
Hearing 5a: PSR [Preliminary Staff Report]
Hearing 5a: Credit Rating Agencies
(Potential) Panel on Credit Rating Agencies
Hypotheses
Macro Working Group

General

Pinto

Witness List

[Spreadsheets]

Bank of America 10k Annual Report 2008

Box 13 of 31

Bank of America 10k Annual Report 2008 (cont'd.)

Documents produced by Joseph St. Denis

Documents produced by Price Waterhouse Coopers on 5/25/2010

ACA ABACUS 00001030 – ACA ABACUS 00001520

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ACA ABACUS 00001030 – ACA ABACUS 00001520 (cont'd.)

ACA ABACUS 00001521 – ACA ABACUS 00001524

ACA ABACUS 00001525 – ACA ABACUS 00001528

ACA ABACUS 00001532 – ACA ABACUS 00001535

ACA ABACUS 00001536 – ACA ABACUS 00001722

ACA ABACUS 00001723 – ACA ABACUS 00001726

ACA ABACUS 00001727 – ACA ABACUS 00001730

ACA ABACUS 00001731 – ACA ABACUS 00001734

ACA ABACUS 00001735 – ACA ABACUS 00001736

ACA ABACUS 00001737 – ACA ABACUS 00001741

ACA ABACUS 00004382 – ACA ABACUS 00004386

ACA ABACUS 00004398 – ACA ABACUS 00004399

ACA ABACUS 00004400 – ACA ABACUS 00004405

ACA ABACUS 00004406 – ACA ABACUS 00004412

ACA ABACUS 00004413 – ACA ABACUS 00004454

ACA ABACUS 00004455 – ACA ABACUS 00004766

Hearing 2/3, Day 2

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Hearing 2/3, Day 2 (cont'd.)

Hearing 5A, Documents, P. 2

Hearing 5A Community Reinvestment Act Documents, P. 1

Hearing 5 Documents

Too Big To Fail Hearing Documents

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Too Big To Fail Hearing Documents (cont'd.)

Hearing 4 Redacted Documents

Hearing 4 Documents, P. 1

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FCIC Response Documents (HomeSaver Advance)

Mortgage Insurance

Federal Housing Finance Agency Response: Mortgage Insurance Documents, March 2010

General

FCIC Request: Documents for Fannie Mae
Midyear Letter for 2008
Private Label Securities
Operations, including End User Computers
Supervision Handbook, as of 1/2007

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FCIC Request: Documents for Fannie Mae (cont'd.)
Reserve Management Company
Reserve Primary Fund Documents
[Handwritten Notes]
Managing Timing on 2008 Downgrade
Emails to McDaniel re: July 2007 Downgrade
Moody's Is Least Accurate
March 2008
Is McDaniel Out of Touch?
"Servicers Not Modifiers" – Weill
"How Common is Mass Downgrade?" – Answers Weill
7/10/2007 Moody's Announcement: Downgrade of Subprime First-Lien [Residential Mortgage-Backed Securities]

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Clayton Holdings
Clayton Holdings – Interviews
Call Logs
[Interview Notes]
Federal Reserve Board Documents Responsive to Requests #6 – 8, 2/10/2010

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Federal Reserve Board Documents Responsive to Requests #6 – 8, 2/10/2010 (cont'd.)
Federal Reserve Board Documents Responsive to Request #9, 2/10/2010
Federal Reserve Board Production of 3/26/2010, Part 1

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Federal Reserve Board Production of 3/26/2010, Part 1 (cont'd.)
Federal Reserve Board Production of 3/26/2010, Part 2

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GMAC [General Motors Acceptance Corporation] Articles
Repos [Repurchase Agreements] [Articles]
Federal Reserve Produced Documents re: Citi, 1/19/2010
[Asset-Backed Securities Proposed Rule – Securities and Exchange Commission]
[Securities Offering Reform Final Rule – Securities and Exchange Commission]

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[Securities Offering Reform Final Rule – Securities and Exchange Commission] (cont'd.)

General

[Repurchase Agreements]
[Citigroup Articles]
[Federal Reserve Bank of New York-Supplied Documents]

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[Federal Reserve Bank of New York-Supplied Documents] (cont'd.)

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[Federal Reserve Bank of New York-Supplied Documents] (cont'd.)
[Office of Thrift Supervision Documents re: GE Capital]

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[Office of Thrift Supervision Documents re: GE Capital](cont'd.)
President's Working Group on Financial Markets
Lawrence Summers Interview, 5/28/2010
FINRA [Financial Industry Regulatory Authority] Documents Produced (Arbitration Cases v. Citi)

Box 27 of 31

FINRA [Financial Industry Regulatory Authority] Documents Produced (Arbitration Cases v. Citi) (cont'd.)
JPMorganChase Earnings Call Transcripts and Press Releases

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JPMorganChase Earnings Call Transcripts and Press Releases (cont'd.)
Witness File: Lisa Madigan
Witness File: John W. Suthers
Witness File: Glenn Theobald
Witness File: Denise Voight Crawford
Witness File: Michael Mayo
[Stuart] McFarland Witness File: Seefer Notes
Witness File: James Lockhart

Box 29 of 31

Witness File: James Lockhart (cont'd.)
Goldman Stock Price History
Research File: Materials Provided by Goldman [Sachs]
Research File: Goldman [Sachs] Prospectus Supplement, 2/26/2007
Research File: Goldman [Sachs] Prospectus Supplement, 12/27/2006
Hearing Documents: Federal Reserve Bank of New York Documents Produced 1/21/2010

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Bank of America Research for Hearing 1: Federal Reserve Board Documents Produced
1/26/2010
Chad Scherr
Robert Eric Karoly

General

Michael Levy
Jeff Gates
Breedon, Joseph
Cadden, Hugh (Institute for Regulatory Training)
Cunningham, William
Kravitz, Richard
Marilyn Howard

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Arthur J. Riel
AIG [American International Group] Proxy

Writers' Research Files

Box count: 11 LTA-S

Arranged by roughly by section of the final report

NAID: 24823132 HMS: HS1-93528508

This series contains records compiled by the commission's writing team of Kirstin Downey and Alexis Simendinger. It includes drafts of the final report, research data and articles, court records, briefing books, and memoranda for the record. Subjects include mortgage fraud, collateralized debt obligations, Consumer Advisory Council, shadow banking, government sponsored enterprises, and others.

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Defaults by Zip Code

FBI – DOJ Mortgage Fraud Investigations

[Miscellaneous Research Material]

Statement of Mark M. Fleming at Sacramento, CA Field Hearing, 9/23/2010

Statement of John C. Dugan, Comptroller of the Currency before the FCIC, 4/8/2010

Draft of Preliminary Investigative Report on the Federal Reserve's Regulation of Subprime
Mortgage Lending

Draft Topical Investigative Report on Securitization: Misleading Disclosure

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Preliminary Draft Investigative Findings on Bear Stearns

Preliminary Draft Investigative Findings on Lehman Brothers

Draft of Preliminary Investigative Report on AIG

Preliminary Draft Investigative Findings on Fannie Mae

Mortgage Fraud

Section IV – Economic Impact

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Section IV – Economic Impact (cont'd.)

FCIC Section IV Information and Report Data

Federal Home Loan Bank of Chicago v Bank of America, et al in the Circuit Court of Cook
County, IL

Cambridge Place Investment Management, Inc. v Morgan Stanley, et al. in the Commonwealth
of Massachusetts

State of Florida v Scott Almeida, et al. in the Tenth Federal Judicial Circuit

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Testimony, Transcripts, and Summaries

CDO [Collateralized Debt Obligations] Underwriters Document Requests

CDO [Collateralized Debt Obligation] Managers Document Requests

Bakersfield Hearing Transcript

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Sacramento [Field Hearing]

Miami [Field Hearing]

Las Vegas [Field Hearing]

Briefing Book: Hearing on the Impact of the Financial Crisis – Greater Bakersfield, 9/7/2010

Briefing Book: Hearing on the Impact of the Financial Crisis – State of Nevada, 9/8/2010

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Briefing Book: Hearing on the Impact of the Financial Crisis – Miami, FL, 9/21/2010

Briefing Book: Financial Crisis at the Community Level – Sacramento, CA, 9/23/2010

Federal Reserve's Consumer Advisory Council Meeting (CAC): 3/25, 6/24, 10/28/2004

Federal Reserve's Consumer Advisory Council Meeting (CAC): 3/17/2005

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Federal Reserve's Consumer Advisory Council Meeting (CAC): 6/22/2006

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Federal Reserve's Consumer Advisory Council Meeting (CAC): 10/25/2007

Federal Reserve's Consumer Advisory Council Meeting (CAC): 10/23/2008

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Federal Reserve's Consumer Advisory Council Meeting (CAC): 3/25/2010

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[Transcript of Federal Reserve Board Public Hearing on Building Sustainable Homeownership:
Responsible Lending and Informed Consumer Choice – Chicago, 6/7/2006]

[Transcript of Federal Reserve Board Public Hearing on Building Sustainable Homeownership:
Responsible Lending and Informed Consumer Choice – Philadelphia, 6/9/2006]

[Transcript of Federal Reserve Board Public Hearing on Building Sustainable Homeownership:
Responsible Lending and Informed Consumer Choice – San Francisco, 6/16/2006]

[Transcript of Federal Reserve Board Public Hearing on Building Sustainable Homeownership:
Responsible Lending and Informed Consumer Choice – Atlanta, July 11, 2006]

Federal Reserve Board, Home Ownership and Equity Protection Act (HOEPA) Public Hearing,
8/14/2007

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Hearing 1 Transcripts

Hearing 2 Background Materials re: Citigroup

Hearing 2 Background Materials re: Federal Reserve

Writers' Research

Hearing 2 Background Materials re: Office of the Comptroller of the Currency; [Government
Sponsored Enterprises and Office of Federal Housing Enterprise Oversight]
Hearings 2 & 3 Transcripts

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Hearing 4 Transcripts

Hearing 5 Transcripts

For The Record

Supporting Materials FORUM

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Background on [Government Sponsored Enterprises] -- Documents from Peter Wallison
Shadow Banking Memoranda for the Record, 5/5/2010 and 5/6/2010

Incoming Correspondence to the Commission

Box count: 2.5 LTA-S

Unarranged

NAID: 24823280 HMS: HS1-93415779

This series contains incoming public correspondence detailing their financial problems and/or allegations of financial institutions' improprieties.

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Misc. Correspondence Letters, Faxes and Emails

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Misc. Correspondence Letters, Faxes and Emails

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Misc. Correspondence Letters, Faxes and Emails

Bank of America's Securities and Exchange Commission Filings

Box count: 5 LTA-S

Arranged by volume number

NAID: 24823281 HMS: HS1-92098309

This series contains printouts of filings made by Bank of America to the Securities and Exchange Commission.

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Bank of American Securities and Exchange Commission Filings, Vol. 4

Bank of American Securities and Exchange Commission Filings, Vol. 5

Files of Bear Stearns

Box count: 3 LTA-S

Arranged by subject

NAID: 24823282 HMS: HS1-92098289

This series contains email printouts, primarily from James Cayne and Alan Schwartz (both former Chief Executive Officers of Bear Stearns) regarding Sam Molinaro (former Chief Financial Officer of Bear Stearns), Warren Spector (former President of Bear Stearns), and Michael Alix (former Risk Officer at Bear Stearns).

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[James E.] Cayne Emails Mentioning [Warren J.] Spector

Sam Molinaro: Search Result from Alan Schwartz's Emails (Response to Request of 2/18/2010)

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Michael Alix, Vol. 1: Search Result from Alan Schwartz's Emails (Response to Request of 2/18/2010)

Michael Alix, Vol. 2: Search Result from Alan Schwartz's Emails (Response to Request of 2/18/2010)

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Michael Alix, Vol. 3: Search Result from Alan Schwartz's Emails (Response to Request of 2/18/2010)

Michael Alix, Vol. 4: Search Result from Alan Schwartz's Emails (Response to Request of 2/18/2010)

Federal Housing Finance Authority Production Files

Box count: 2 LGA-S, 0.4 LTA-S

Arranged by subject

NAID: 24823288 HMS: HS1-93416970

This series contains documents from Fannie Mae and Freddie Mac produced by the Federal Housing Finance Agency, press releases, and agency publications.

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FHFA Production to FCIC No. 5: 2004 Proposed Rule and Fannie Mae Comments

FHFA Production to FCIC No. 6: Comments of Federal Home Loan Mortgage Corp on HUD's
Proposed Housing Goals...

Fannie Mae and Freddie Mac Data Analysis Reports

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Freddie [Mac] Subprime Inquiry

Subprime Mortgages

Feasibility – 2007 Goals

Topical Comment Summary

Comment Summary by Comment Number

GSA Comment Summary

Organization Type – Comment Summary

Priority Rank – Comment Summary

FHFA Production to FCIC No. 7

OFHEO's [Office of Federal Housing Enterprise Oversight] "Mortgage Markets and the
Enterprises in 2007," July 2008

2004 Rule – Comments

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2004 Final Rule Regulatory Analysis of HUD's Regulation of Fanny Mae and Freddie Mac

Federal Housing Finance Authority Press Releases

Box count: 1.3 LTA-S

Arranged chronologically by year

NAID: 24823289 HMS: HS1-93407337

This series contains press releases of the Federal Housing Finance Authority from 2005, 2006, and 2008 and press releases of the Office of Federal Housing Enterprise Oversight from 2007.

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Office of Federal Housing Enterprise Oversight Press Releases, 2007

Federal Housing Finance Agency News Releases (2005-2006)

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Federal Housing Finance Agency News Releases (2008)

Federal National Mortgage Association (Fannie Mae) Minutes and Other Files

Box count: 20 LTA-S, 1 LGA-S
Arranged roughly chronologically
NAID: 24823290 HMS: HS1-93415641

This series contains minutes of meetings of the Federal National Mortgage Association (Fannie Mae) Board of Directors and its various committees from 2004 through 2008; court records; handwritten notes; and press articles.

Folder List:

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FNMA Board Documents: Vol. 1, 1/2008
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FNMA Board Documents: Vol. 4, 6-7/2008

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FNMA Board Documents: Vol. 4, 6-7/2008 (cont'd.)
FNMA Board Documents: Vol. 5, 7-8/2008
FNMA Board Documents: Vol. 6, Compensation Committee Materials, 1-9/2007

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FNMA Board Documents: Vol. 6, Compensation Committee Materials, 1-9/2007 (cont'd.)
FNMA Board Documents: Vol. 7, Audit Committee Deliverables, 2007 & Risk Policy and Capital Committee Minutes, 3/6/2007
FNMA Board Documents: Vol. 8, Risk Policy & Capital Committee; Board Meetings, 1/2007

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FNMA Board Documents: Vol. 9, 1-4/2007
FNMA Board Documents: Vol. 10, 5-8/2007

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FNMA Board Documents: Vol. 11, 9-10/2007
FNMA Board Documents: Vol. 12, 11-12/2007; Compliance Committee Materials

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FNMA Board Documents: Vol. 13, 2005 10-K (Drafts 1.2 and 3), 2007
FNMA Board Documents: Vol. 14, 2005 10-K (Draft 1.2); Audit Committee Materials, 2007

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FNMA Board Documents: Vol. 14, 2005 10-K (Draft 1.2); Audit Committee Materials, 2007 (cont'd.)

FNMA Board Documents: Vol. 15, Audit Committee Materials, 2007

FNMA Board Documents: Vol. 16, Audit Committee Materials, 7-12/2007

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FNMA Board Documents: Vol. 16, Audit Committee Materials, 7-12/2007 (cont'd.)

FNMA Board Documents: Vol. 17, Weekly Business Review, 1-10/2007

FNMA Board Documents: Vol. 18, 1-7/2006

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FNMA Board Documents: Vol. 19, 7-11/2006

FNMA Board Documents: Vol. 20, 11-12/2006; Risk Policy & Capital Committee Materials, 2006

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FNMA Board Documents: Vol. 21, Compensation Committee Materials, 2006

FNMA Board Documents: Vol. 22, Audit Committee Deliverables, 2006

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FNMA Board Documents: Vol. 23, Audit Committee Materials, 2006

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FNMA Board Documents: Vol. 24, Audit and Compliance Committees Materials, 2006

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FNMA Board Documents: Vol. 29, Audit Committee Materials, 1-10/2005

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FNMA Board Documents: Vol. 31, 2-4/2004 (cont'd.)

FNMA Board Documents: Vol. 32, 5-11/2004; Assets and Liabilities Policy Committee Materials, 2004; Audit Committee Materials, 1-3/2004

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FNMA Board Documents: Vol. 33, Audit Committee Materials, 3-11/2004; Compensation Committee Materials, 2004

Fannie Mae Background Articles, 1995-2010

Fannie Mae

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FNMA Board Meeting Minutes, 2004-2008

Fannie Mae & Freddie Mac Congressional Hearings, 2004-2008

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Fannie Mae & Freddie Mac Congressional Hearings, 2004-2008 (cont'd.)

Subprime, 2003-2008

Affordable Housing Goals

[Mudd, General]

Fannie Mae Research: FNMA Financial Trend Analysis

[Fannie Mae Single Family Conventional Acquisition Characteristics Report]

[Fannie Mae, General]

Document #8: Customer Engagement Plans

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Marzol Background

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Document #1: September 2004 Memo (Marzol to Mudd)

Document #2: March 2005 Memo (Marzol to Mudd)

Document #3: June 2005 Presentation (Tracy Amos)

Document #5: September 2007 Email (Quinn to Mudd, etc.)

Document #4: July 2007 Presentation

Document #6: April 2008 Email (Quinn to Mudd, etc.)

Case File – FNMA Conservatorship Lawsuit

Case File – FNMA Restatement Lawsuit

[Department of Housing and Urban Development Housing Goals]

[Fannie Mae Witness Questions and Press Articles]

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Thomas Lund Documents

[Handwritten Notes]

Fannie Mae Research -- Lobbying

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Fannie Mae-Initial Working Binder

Fannie Mae Research: FHFA [Federal Housing Finance Agency] ROEs [Reports of Examination], 1994-2008

Government Sponsored Enterprise Files

Box count: 5.5 LTA-S

Arranged by subject

NAID: 24823321 HMS: HS1-93381560

This series contains Securities and Exchange Commission filings by Fannie Mae, board meeting records, Compensation Committee records, Office of Housing Enterprise Oversight annual reports to Congress, industry publications, and other records primarily concerning Fannie Mae.

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Fannie Mae Compensation Committee Materials, 10/2007 – 7/2008

Fannie Mae 10-Q, 2nd Quarter 2008

Fannie Mae 10-Q, 3rd Quarter 2008

Hearing 2/3: Day 3 -- Fannie Mae Materials, 4/9/2010

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Federal National Mortgage Association Board Documents, 2005, vol. 25

Federal National Mortgage Association Board Documents, 2005, vol. 27

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Federal National Mortgage Association Board Documents, 2005, vol. 28

Federal National Mortgage Association Board Documents, 2005, vol. 30

Fannie Mae SEC Filings, 2005 10-K

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Fannie Mae SEC Filings, 2008 10-K

Federal National Mortgage Association 2009 10-K

Fannie Mae Compensation Materials

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Fannie Mae Research: Morgan Stanley/Sanford Bernstein Analyst Reports

Office of Federal Housing Enterprise Oversight Responsive Documents: Statements to Congress and Public, 2006-2009

Office of Federal Housing Enterprise Oversight Reports to Congress, 2005 - 2008

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[Lloyd Blankfein Remarks to Council of Institutional Investors, 4/2009]

[Lloyd Blankfein Testimony, 1/13/2010]

[Goldman Sachs Global Markets Institute “Effective Regulation”]

[Suggested Questions for Hearing 1 Witnesses]

[Miami-Dade County Mortgage Fraud Task Force Report 2009]

[Miscellaneous Publications]

Files Supplied by Goldman Sachs

Box count: 33.2 LTA-S, 12 LGA-S
Arranged in numerical batches by Bates number
NAID: 24823579 HMS: HS1-93381208

This series contains primarily internal Goldman Sachs documents supplied to the commission. The records include email printouts, memoranda, news clippings, briefing materials, weekly estimates, the “Derivative Collateral Dispute Summary of 10/30/2007,” daily trading risk summaries, weekly senior management reports, correspondence, prospectuses, asset purchase agreements, mortgage pass-through certificates, documents supplied to the Senate Permanent Subcommittee on Investigations, records of the Asia Special Situation Group. Subjects include investment risk, plans for future investments, remarketing, residential mortgage-backed securities, collateralized debt obligations, Freddie Mac, the Capital Committee, the Principal Investment Committee, global sales, derivatives, ABACUS, subprime lending, Morgan Stanley’s ABS Capital, Firmwide Capital Committee, GSAA Home Equity Trust, and others.

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GS MBS 0000008081 – 8801
GS MBS 0000008808 – 9538

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GS MBS 0000002386-GS MBS 0000002965

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Goldman Sachs

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GS MBS 0000016366 – 16936 (cont'd.)

[Goldman Sachs] Mortgage Securities Corporation Mortgage Pass-Through Certificates, Series 2006 – S3, 15688-00633, Closing Date 4/27/2006

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[Goldman Sachs] Mortgage Securities Corporation Mortgage Pass-Through Certificates, Series 2006 – S3, 15688-00633, Closing Date 4/27/2006 (cont'd.)

GSAA [Home Equity Trust] 2006–17 Closing Set, Closing Date 10/30/2006

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GS MBS 0000009272-GS MBS 0000009897

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GS MBS 0000014230 – GS MBS 0000014836

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GS MBS 0000003316 – GS MBS 0000003816
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GS NYAG-00002 -- 0023 [Goldman Sachs Asset Management, “Information Barriers and the
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GSMBS 0000017405 – GS MBS 0000018044

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GS NYAG 0002 – GS NYAG 00023 [Goldman Sachs Asset Management, “Information Barriers
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JP Morgan's Securities and Exchange Commission Filings

Box count: 1.8 LTA-S

Arranged by volume number

NAID: 24823580 HMS: HS1-93419007

This series contains printouts of filings made by JP Morgan to the Securities and Exchange Commission.

Folder List:

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JP Morgan Securities and Exchange Commission Filings, Vol. 1

JP Morgan Securities and Exchange Commission Filings, Vol. 2

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JP Morgan Securities and Exchange Commission Filings, Vol. 2 (cont'd.)

JP Morgan Securities and Exchange Commission Filings, Vol. 3

Files Supplied by Morgan Stanley

Box count: 4 LTA-S

Arranged by document type

NAID: 24823581 HMS: HS1-93420688

This series contains Securities and Exchange Commission filings made by Morgan Stanley, trustee reports, and other records requested by the commission.

Folder List:

Box 1 of 4

Bloomberg Reports MS0000098-226

Trustee Reports MS0000227-1011

Trustee Reports MS0001012-1499

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Trustee Reports MS0001012-1499 (cont'd.)

Trustee Reports MS0001500-1986

Morgan Stanley Documents Responsive to 2/2/[2010] Letter

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Morgan Stanley Documents Responsive to 2/2/[2010] Letter (cont'd.)

Morgan Stanley SEC Filings, Vol. 1

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Morgan Stanley SEC Filings, Vol. 2 [with duplicate]

Office of the Comptroller of the Currency Records Relating to Citigroup

Box count: 3 LTA-S

Arranged by volume number

NAID: 24823582 HMS: HS1-93479461

This series contains records about Citigroup that were supplied to the commission by the Office of the Comptroller of the Currency.

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OCC Produced Documents re: Citi, Vol. 2 [Note: There is no volume 1]

OCC Produced Documents re: Citi, Vol. 3

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OCC Produced Documents re: Citi, Vol. 4

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OCC Produced Documents re: Citi, Vol. 4 (cont'd.)

OCC Produced Documents re: Citi, Vol. 5

OCC Produced Documents re: Citi, Vol. 6

Electronic Records

The electronic records of the Financial Crisis Inquiry Commission are comprised of three subsets of records: those downloaded from the NetDocuments platform; CDs, DVDs and hard drives supplied to the Commission in response to document requests; and Commissioner and staff email.

I. NetDocuments System

The FCIC used a document management system called NetDocuments (NetDocs) to organize and share its electronic files. There are 11 cabinets in the NetDocs system, each with its own file structure. Please note there are several folders in the directories that contain no files.

Commissioner Upload Space


NAID: 24450904






Extent: 10 data files

This series contains an article about the lessons of Depression-era banking reform, FCIC ethics guidelines, and a brochure about credit derivative companies.

File list

NetDocuments Document Report

 Comm. Upload Space - 3/1/2011 9:34:49 AM

- I.  Cabinet Inbox
 - A.  Background material for report
 - 1.  CalomirisGreatDepressionBankRegulatoryReform2010
 - B.  Ethics Guidelines Dec 7, 2009
- II.  Misc

Commissioners Workspace

NAID: 24450907

Extent: 2,620 data files

This series contains final versions of work product FCIC staff shared with the Commissioners. Records include interview lists, administrative files, records relating to field hearings, drafts of the final report, research and investigative materials that resulted in investigative and staff reports, background briefing binders and hearing binders prepared for the Commissioners, hearing documents, (key documents from the investigations), and hearing follow up, (letters sent to witnesses with questions pertaining to their testimony). Topics include too big to fail, macroeconomic factors in the crisis, shadow banking, subprime mortgages, rating agencies, and others.

File list

FCIC Staff Documents

NAID: 24823584

Extent: 59,355 data files

This series contains incoming and outgoing correspondence; some smaller-volume document productions from agencies and businesses; administrative files regarding the external document management system, Epiq; witness lists; records supporting hearings; chronologies of the financial crisis; risk model data; press releases, advisories, and other records relating to the FCIC interaction with the media; and other documents created by staff.

File list

Homefront

NAID: 24823585

Extent: 1,626 data files

This series contains documents uploaded to the FCIC website.

[File list](#)

Series Related to the Preparation of the Final Report:

Latest Versions of the Final Report

NAID: 24823586

Extent: 220 data files

This series contains files related to drafting the final report. Many of the files were moved from this cabinet as they were finalized for the final report. The “Timeline” records contain the most current versions of the timeline as it was prepared for the web. The “Tracking” records contain all the trackers for various parts of the final report.

File list

Preliminary Book Material

NAID: 24823587

Extent: 2,293 data files

This series contains a copy of the final hearing material from the Commissioner's Workspace cabinet as well as early drafts of the final report from the beginning of the process in the summer of 2010.

File list

Preparing – Current Versions of the Final Report

NAID: 24823588

Extent: 1,496 data files

This series contains the final iteration of report materials. The “Ready to Go” records contain all of the chapters as they went to the publisher, along with all of their earlier versions.

File list

Memoranda for the Record and Interview Lists

NAID: 24823589

Extent: 1,327 data files

This series contains summaries, transcripts, and audio files of interviews with witnesses interviewed by commission staff. The Memoranda for the Record are summaries of interviews conducted by FCIC staff with a variety of outside people. The staff interviewed employees of banks, brokerages, holding companies, state and Federal government agencies, rating agencies, mortgage companies. They also spoke with authors, lawyers, financial advisers, and economics professors. Some of these interviews were transcribed and recorded.

There are multiple drafts of many of these files. Some scans of handwritten notes are also included. Many of these documents were released by the FCIC in the “Resource Library” section of its website.

File list

Research Library

NAID: 24823590

Extent: 852 data files

This series contains primarily public reference materials used by the research team.

File list

Review

NAID: 24823591

Extent: 245 data files

This series contains interview files copied from the MFR and Interviews cabinet. The items in this cabinet were made available by the FCIC to the interviewees' lawyers to review on behalf of their clients.

File list

Old FCIC Documents [non-record]

NAID: 24823592

Extent: 2 data files

This series contain two log files and can be considered non-record material.

File list

II. Email of Commissioners and Staff

This series contains email of Commissioners and staff. All of this material requires screening before it can be released. As with any email system, there is substantial duplication throughout.

NAID: 24823593

Extent: 236,648 data files

III. Loose Media

This series contains 743 CDs and DVDs and 57 hard disk drives supplied to the FCIC in response to documents requests. The producing entities include Bank of America, JP Morgan, Federal Reserve Board, Securities and Exchange Commission, Moody's, Standard and Poor's, Vero, Deutsche Bank, Goldman Sachs, AIG, Wells Fargo, Citi, and others. Please note: most of these records are closed because they contain proprietary business information and highly sensitive information about the regulation and supervision of financial institutions.

NAID: 24823594