Memorandum

To: Chairperson and Board Members

From: Ray Porfirio, Deputy General Counsel

Cc: Manuel Gomez
    Susan Casper
    Daniel Horowitz

Subject: Board Action Report – Notation Item 328

Date: November 17, 2004

On November 5, 2004, the Board approved Notation Item 328, thereby designating recommendations 2003-11-I-KY-R1 through R6 (to D.D. Williamson & Co., Inc.) (from the D.D. Williamson investigation) with the following status:


Voting Summary – Notation Item 328

Disposition: APPROVED

Disposition date: November 5, 2004

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<tr>
<th>Name</th>
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<th>Disapprove</th>
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<th>Withhold</th>
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