

**FEDERAL RESERVE BANK
OF NEW YORK**

Circular No. 2109, August 9, 1940
[Reference to Circulars Nos. 2044, 2046, 2050, 2053, 2056, 2057, 2058, 2059,
2060, 2062, 2063, 2064, 2065, 2069, 2070, 2071, 2073, 2074, 2078, 2080, 2081,
2082, 2083, 2085, 2086, 2087, 2090, 2094, 2098, 2099, 2101, 2105 and 2107.]

**Executive Order No. 8389, April 10, 1940, as Amended, and Regulations
Issued Pursuant Thereto, Relating to Transactions
in Foreign Exchange, Etc.**

*To all Banking Institutions, and Others Concerned,
in the Second Federal Reserve District:*

For your information we quote below the texts of amendments to General Licenses No. 4 and No. 13, revocation of General License No. 17, new General Licenses Nos. 27, 28 and 29, and General Ruling No. 6, issued by the Secretary of the Treasury pursuant to Executive Order No. 8389 of April 10, 1940, as amended, and the Regulations issued thereunder.

TREASURY DEPARTMENT,
Office of the Secretary,
August 8, 1940.

**AMENDMENT TO GENERAL LICENSE NO. 4 UNDER EXECUTIVE ORDER NO. 8389,
APRIL 10, 1940, AS AMENDED, AND REGULATIONS ISSUED PURSUANT THERETO
RELATING TO TRANSACTIONS IN FOREIGN EXCHANGE, ETC.***

Paragraph (b) of General License No. 4, as amended, is further amended to read as follows:

“(b) this general license shall not be deemed to authorize the sale of any security registered or inscribed in the name of Norway, Denmark, the Netherlands, Belgium, Luxembourg, France, Latvia, Estonia or Lithuania, or any national thereof, irrespective of the fact that at any time (whether prior to, on, or subsequent to April 10, 1940) the registered or inscribed owner thereof may have, or appears to have, assigned, transferred or otherwise disposed of the security.”

D. W. BELL
Acting Secretary of the Treasury.

* Part 134;—Sec. 5(b), 40 Stat. 415 and 966; Sec. 2, 48 Stat. 1; Public Resolution No. 69, 76th Congress; 12 U. S. C. 95a; Ex. Order 6560, Jan. 15, 1934; Ex. Order 8389, April 10, 1940; Ex. Order 8405, May 10, 1940; Ex. Order 8446, June 17, 1940; Ex. Order 8484, July 15, 1940; Ex. Order 8493, July 25, 1940; Regulations, April 10, 1940, as amended May 10, 1940, June 17, 1940 and July 15, 1940.

TREASURY DEPARTMENT
Office of the Secretary
August 8, 1940.

**AMENDMENT TO GENERAL LICENSE NO. 13 UNDER EXECUTIVE ORDER NO. 8389,
APRIL 10, 1940, AS AMENDED, AND REGULATIONS ISSUED PURSUANT THERETO,
RELATING TO TRANSACTIONS IN FOREIGN EXCHANGE, ETC.***

General License No. 13 is hereby amended to read as follows:

“A general license is hereby granted authorizing banking institutions within the United States to make all payments, transfers and withdrawals from accounts in the name of any of the following: the head offices in Java of the Javasche Bank, Neder-

landsche Handel Maatschappij, Nederlandsch Indische Handelsbank and Nederlandsch Indische Escompto Maatschappij, the branch offices in Kobe, Shanghai, Amoy, Hongkong, Manila, Singapore, Bombay and Calcutta of the Nederlandsch Indische Handelsbank and the branch offices in Kobe, Djeddah, Shanghai, Hongkong, Singapore, Penang, Rangoon, Calcutta and Bombay of the Nederlandsche Handel Maatschappij.

"Banking institutions within the United States making such payments, transfers or withdrawals shall file promptly with the appropriate Federal Reserve Bank weekly reports showing the details of the transactions during such period."

D. W. BELL

Acting Secretary of the Treasury

* Part 143;—Sec. 5(b), 40 Stat. 415 and 966; Sec. 2, 48 Stat. 1; Public Resolution No. 69, 76th Congress; 12 U. S. C. 95a; Ex. Order 6560, Jan. 15, 1934; Ex. Order 8389, April 10, 1940; Ex. Order 8405, May 10, 1940; Ex. Order 8446, June 17, 1940; Ex. Order 8484, July 15, 1940; Ex. Order 8493, July 25, 1940; Regulations, April 10, 1940, as amended May 10, 1940, June 17, 1940, and July 15, 1940.

TREASURY DEPARTMENT,
Office of the Secretary,
August 8, 1940.

REVOCATION OF GENERAL LICENSE NO. 17, AS AMENDED, UNDER EXECUTIVE ORDER NO. 8389, APRIL 10, 1940, AS AMENDED, AND REGULATIONS ISSUED PURSUANT THERETO, RELATING TO TRANSACTIONS IN FOREIGN EXCHANGE, ETC.*

General License No. 17, as amended, is hereby revoked.

D. W. BELL

Acting Secretary of the Treasury.

* Part 147;—Sec. 5(b), 40 Stat. 415 and 966; Sec. 2, 48 Stat. 1; Public Resolution No. 69, 76th Congress; 12 U. S. C. 95a; Ex. Order 6560, Jan. 15, 1934; Ex. Order 8389, April 10, 1940; Ex. Order 8405, May 10, 1940; Ex. Order 8446, June 17, 1940; Ex. Order 8484, July 15, 1940; Ex. Order 8493, July 25, 1940; Regulations, April 10, 1940, as amended May 10, 1940, June 17, 1940 and July 15, 1940.

TREASURY DEPARTMENT,
Office of the Secretary,
August 8, 1940.

GENERAL LICENSE NO. 27 UNDER EXECUTIVE ORDER NO. 8389, APRIL 10, 1940, AS AMENDED, AND REGULATIONS ISSUED PURSUANT THERETO, RELATING TO TRANSACTIONS IN FOREIGN EXCHANGE, ETC.*

A general license is hereby granted authorizing banking institutions within the United States to present securities (including coupons) to the proper paying agents within the United States for redemption or collection for the account and pursuant to the authorization of nationals of any of the foreign countries designated in Executive Order No. 8389, as amended, and to perform such other acts, and to effect such other transactions, as may be necessarily incident to any such redemption or collection, provided that:

(a) the proceeds of the redemption or collection are credited to an account in the name of the national for whose account the redemption or collection was made and in the banking institution within the United States which held the securities for such national; and

(b) this general license shall not be deemed to authorize the presentation for redemption of any security registered or inscribed in the name of any of the foreign countries designated in Executive Order No. 8389, as amended, or any national thereof, irrespective of the fact that at any time (whether prior to, on, or subsequent to April 10, 1940) the registered or inscribed owner thereof may have, or appears to have, assigned, transferred or otherwise disposed of the security.

Each banking institution making any presentations for redemption or collection herein authorized is required to file promptly with the appropriate Federal Reserve Bank weekly reports showing the details of the transactions, including a description of the securities pre-

sent for redemption or collection, the dates of presentations, the persons for whose account the presentations were made, and the amounts collected.

D. W. BELL
Acting Secretary of the Treasury.

* Part 157;—Sec. 5(b), 40 Stat. 415 and 966; Sec. 2, 48 Stat. 1; Public Resolution No. 69, 76th Congress; 12 U. S. C. 95a; Ex. Order 6560, Jan. 15, 1934; Ex. Order 8389, April 10, 1940; Ex. Order 8405, May 10, 1940; Ex. Order 8446, June 17, 1940; Ex. Order 8484, July 15, 1940; Ex. Order 8493, July 25, 1940; Regulations, April 10, 1940, as amended May 10, 1940, June 17, 1940 and July 15, 1940.

TREASURY DEPARTMENT,
Office of the Secretary,
August 8, 1940.

GENERAL LICENSE NO. 28 UNDER EXECUTIVE ORDER NO. 8389, APRIL 10, 1940, AS AMENDED, AND REGULATIONS ISSUED PURSUANT THERETO, RELATING TO TRANSACTIONS IN FOREIGN EXCHANGE, ETC.*

A general license is hereby granted authorizing any individual who is a citizen of the United States and residing therein and who is a "national" of any of the foreign countries designated in Executive Order No. 8389, as amended, within the meaning of such Executive Order, as amended, to engage in any transaction which would not be prohibited under the provisions of such Executive Order, as amended, if such resident citizen were not a "national" of any of the foreign countries designated in such Executive Order, as amended. All banking institutions within the United States are hereby authorized to engage in any transaction involving property in which such resident citizen has an interest, to the same extent, and under the same circumstances, as if such resident citizen were not a "national" of one of the foreign countries designated in such Executive Order, as amended.

This general license shall not be deemed to affect securities or evidences thereof delivered, or required to be delivered, to a Federal Reserve Bank under the provisions of General Ruling No. 5, as supplemented, or to authorize payments, transfers or withdrawals from accounts referred to in Paragraph (4) of General Ruling No. 6.

D. W. BELL
Acting Secretary of the Treasury.

* Part 158;—Sec. 5(b), 40 Stat. 415 and 966; Sec. 2, 48 Stat. 1; Public Resolution No. 69, 76th Congress; 12 U. S. C. 95a; Ex. Order 6560, Jan. 15, 1934; Ex. Order 8389, April 10, 1940; Ex. Order 8405, May 10, 1940; Ex. Order 8446, June 17, 1940; Ex. Order 8484, July 15, 1940; Ex. Order 8493, July 25, 1940; Regulations, April 10, 1940, as amended May 10, 1940, June 17, 1940 and July 15, 1940.

TREASURY DEPARTMENT,
Office of the Secretary,
August 9, 1940.

GENERAL LICENSE NO. 29 UNDER EXECUTIVE ORDER NO. 8389, APRIL 10, 1940, AS AMENDED, AND REGULATIONS ISSUED PURSUANT THERETO RELATING TO TRANSACTIONS IN FOREIGN EXCHANGE, ETC.*

The provisions of the following General Licenses, as amended, are hereby made applicable, as of the date hereof, to all accounts of the type referred to in paragraph (4) of General Ruling No. 6, issued under Executive Order No. 8389, as amended, to the extent that heretofore such General Licenses have not been applicable by reason of their specifying accounts of certain designated countries, or nationals thereof:

General License No. 1
General License No. 2
General License No. 4
General License No. 5
General License No. 11
General License No. 27

D. W. BELL
Acting Secretary of the Treasury

* Part 159;—Sec. 5(b), 40 Stat. 415 and 966; Sec. 2, 48 Stat. 1; Public Resolution No. 69, 76th Congress; 12 U. S. C. 95a; Ex. Order 6560, Jan. 15, 1934; Ex. Order 8389, April 10, 1940; Ex. Order 8405, May 10, 1940; Ex. Order 8446, June 17, 1940; Ex. Order 8484, July 15, 1940; Ex. Order 8493, July 25, 1940; Regulations, April 10, 1940, as amended May 10, 1940, June 17, 1940 and July 15, 1940.

TREASURY DEPARTMENT

Office of the Secretary

August 8, 1940

GENERAL RULING NO. 6 SUPPLEMENTING GENERAL RULING NO. 5 UNDER EXECUTIVE ORDER NO. 8389, APRIL 10, 1940, AS AMENDED, AND REGULATIONS ISSUED PURSUANT THERETO, RELATING TO TRANSACTIONS IN FOREIGN EXCHANGE, ETC.

(1) The provisions of General Ruling No. 5 of June 6, 1940, and all instructions issued pursuant thereto, are hereby continued in full force and effect, *Provided*, That any Federal Reserve Bank to whom securities or evidences thereof (hereinafter referred to as securities) have been forwarded under such General Ruling may, as fiscal agent of the United States, deliver the securities, at any time, under appropriate arrangements with the addressee of the securities, to a bank or trust company incorporated under the laws of the United States or of any state, territory or district of the United States, or to a private bank subject to supervision and examination under the banking laws of any state, or to any other banking institution authorized for that purpose by the Treasury Department.

(2) Prior to such delivery by a Federal Reserve Bank of any such security a complete description of the security shall be made or received, and retained by such Federal Reserve Bank, and in any case in which a security bears a stamp, seal or other mark not lending itself to precise description, a photostat of such mark shall be made at the expense of the addressee and retained by such Federal Reserve Bank. This requirement may be dispensed with in any case in which appropriate arrangements are entered into for furnishing such Federal Reserve Bank with this description within a reasonable time after such delivery.

(3) Upon the delivery of any such security by a Federal Reserve Bank to any such institution, such institution shall execute such form of receipt as may be prescribed by the Secretary of the Treasury.

(4) Any institution to which any such security shall be delivered by a Federal Reserve Bank shall place such security in an account in such institution, from which payments, transfers, or withdrawals may be made only in accordance with a license issued pursuant to Executive Order No. 8389, as amended. In the event that any such security so held by such institution is sold or otherwise dealt with under a license the proceeds therefrom shall be held by such institution under the same conditions as those under which the security was held, and such proceeds shall be placed in an account in such institution in the same name in which the security sold or otherwise dealt with was held, from which payments, transfers or withdrawals may be made only in accordance with a license issued pursuant to Executive Order No. 8389, as amended.

(5) Federal Reserve Banks shall release any security referred to in paragraph (1) hereof, or shall authorize the release of the contents of any account referred to in paragraph (4) hereof, if and when the Treasury Department is fully satisfied that no foreign country designated in Executive Order No. 8389, as amended, or any national thereof, has, at any time, on or since the dates specified in such Order, as amended, had any interest of any nature whatsoever, direct or indirect, in such security or in such account.

D. W. BELL

Acting Secretary of the Treasury.

Additional copies of this circular will be furnished upon request.

GEORGE L. HARRISON,
President.

RECEIPT FOR SECURITIES DELIVERED UNDER GENERAL RULING No. 6, ISSUED UNDER
EXECUTIVE ORDER No. 8389, APRIL 10, 1940, AS AMENDED.

Instructions Respecting the Securities Described in the Within Receipt

- (1) If any of the countries named in Executive Order No. 8389, as amended, or a national thereof, has at any time on or since the dates specified in such Order, as amended, had any interest of any nature whatsoever, direct or indirect, in such securities, or evidences thereof, please file promptly with the Federal Reserve Bank of New York, a statement in triplicate, setting forth such facts as appear to establish the existence of any such interest.
- (2) If there is no interest of the kind described in (1) above in such securities, please submit to the Federal Reserve Bank of New York, in triplicate, "Statement Relating to the Importation of Securities into the United States (Form TFA-1)," and the application form attached thereto, properly executed.

Dated at
.....194....

FEDERAL RESERVE BANK OF NEW YORK,
Fiscal Agent of the United States,
33 Liberty Street,
New York, New York.

Gentlemen:

The undersigned banking institution hereby acknowledges that pursuant to General Ruling No. 6 described above, it has received from Federal Reserve Bank of New York as Fiscal Agent of the United States the items described in receipt No., dated, issued by the Treasury Department, Customs Service of New York, being all the securities or evidences thereof (hereinafter called "securities") contained in the (registered mail) letter(s)* or package(s) referred to in said receipt and described below:

Name and Address of Sender

Registry Number

The addressee of said letter(s) or package(s) is

The undersigned understands that pursuant to said General Ruling No. 6, it is required, within a reasonable time, to furnish you with a complete description of such securities** (unless such description has heretofore been made by, or furnished to, you) including the name of the party issuing the security, the issue, the denomination or number of shares, the serial or certificate number, and, if the security is not payable to bearer, the name of the registered or inscribed owner thereof and the date of registration or inscription. Such description shall also include a statement whether any of such securities bear the stamp of a foreign country or a notarial or similar seal affixed in a foreign country or whether there is any indication that any such security may, at any time, have borne such a stamp or seal, and, if so, a full description thereof, furnishing a photostat of such mark if a precise description is not otherwise practicable. The undersigned will, upon request, submit, and in any event prior to selling or otherwise disposing of such securities pursuant to a license offer to submit, such securities to you for examination.

Very truly yours,

.....
(Name of Banking Institution)

By.....
(Official signature) (Title)

Address.....
(City, Town or Village, and State)

(To be used when above-named banking institution is not addressee)

The undersigned addressee of the letter(s) or package(s) containing the items referred to above hereby consents to the delivery of said items to the above-named banking institution by Federal Reserve Bank of New York as fiscal agent of the United States subject to the foregoing terms and conditions.

Name of Addressee.....
(Please print)

By.....
(Official signature) (Title)

Street address.....

City, Town or Village, and State.....

The above is the authentic signature of the addressee.

.....
(Name of Banking Institution)

By.....
(Official signature) (Title)

* In order to assist in determining whether or not any country named in Executive Order No. 8389, as amended, or any national thereof, has at any time on or since the dates specified in such Order, as amended, had any interest in the securities described in the within receipt, the banking institution receiving the securities is requested to retain the envelope(s) and wrapper(s) enclosing the securities together with any pertinent letters of transmittal.

* Including coupons.

STATEMENT RELATING TO THE IMPORTATION OF SECURITIES INTO THE
UNITED STATES*

(To be executed and filed in triplicate with the Federal Reserve bank or Governor
or High Commissioner of a territory or possession of the United States to which
securities have been or are to be delivered under General Ruling No. 5.)

TO THE SECRETARY OF THE TREASURY
Washington, D. C.

Sir:

I

In accordance with Section 5(b) of the Act of October 6, 1917 (40 Stat. 411), as amended, Executive Order No. 8389 of April 10, 1940, as amended, relative to transactions in foreign exchange, etc., and the regulations and rulings issued thereunder, the undersigned makes the following statement relative to the securities or evidences thereof, hereinafter referred to as securities, which have been or will be delivered to a Federal Reserve bank or Governor or High Commissioner of a territory or possession of the United States under General Ruling No. 5.

A. My name is _____,

my residence or principal place of business is located at _____

(Street)

(City)

(State)

(Country)

I am a citizen of _____, and since _____

_____ have been engaged in the business of _____

(State nature)

B. The following is a complete description of the securities which have been or will be delivered: (Include name of party issuing security, date of issuance, amount and serial number, and if security is not payable to bearer, the name of the registered or inscribed owner thereof; also state whether security bears the stamp or other mark of any foreign government, or political subdivision thereof, and, if so, describe fully.)

C. With respect to every party who has had any interest whatsoever, direct or indirect, in any of such securities on or since April 8, 1940, state from whom and in what manner such interest was acquired by such party; how payment was made therefor; whether any broker or bank was involved in the transaction and, if so, the name and address thereof.

* All definitions appearing in Executive Order No. 8389, of April 10, 1940, as amended, and the Regulations issued thereunder, shall apply to the terms employed herein.

- D. State fully and in detail the name, address, nationality** and extent of interest of every party having any interest whatsoever, direct or indirect, in any of such securities on or since July 1, 1939, including the exact period of time during which each such party has held such interest. Also state the countries in which such securities have been situated since July 1, 1939, giving dates.

II

- E. It is desired to engage in the following transaction involving the above-described securities which have been or will be delivered to a Federal Reserve bank or Governor or High Commissioner of a territory or possession of the United States: (State in detail the nature, purpose and amount of the transaction, including the purpose for which such securities have been or will be brought into the United States, and the name, address, nationality** and extent of interest of every party, including the undersigned, involved or interested in the transaction.)

III

- F. To the best of undersigned's knowledge, information and belief, no interest of any nature whatsoever, direct or indirect, in such securities has been held at any time by any country designated in Executive Order No. 8389, as amended, or any national thereof, except as follows:
- G. Has any interest of any nature whatsoever, direct or indirect, in such securities been held by any country designated in Executive Order No. 8389, as amended, or any national thereof, on or since the dates specified in such order? (Must be answered "yes" or "no" if possible. If answer is other than "no" explain fully.)
- H. The undersigned represents and warrants that to the best of his knowledge, information, and belief all the facts herein stated are correct and true and that he does not have knowledge of any material facts in connection with the transactions referred to in item E above or the securities involved herein which are not fully and accurately set forth herein. (Attach hereto schedules of any additional material information.)
- I. The undersigned represents and warrants that he has complied, and agrees that he will comply, in all respects with Executive Order No. 8389, of April 10, 1940, as amended, and the regulations and rulings issued thereunder, and with any and all licenses issued pursuant thereto.

J. The following named persons or firms *who are residents or citizens of the United States* are familiar with, or have information about, such securities or such transaction and may be called upon if necessary for supporting data relative thereto.

Name

Address

K. The following named persons or banking institutions *within the United States* have had previous dealings or transactions with the party or parties involved in the transaction referred to in item E above and may be referred to for information regarding previous dealings or transactions of this same general character: (Note: Include a short statement respecting particulars and nature of such dealings or transactions, dates and amounts involved.)

State of

County of

ss:

I, _____, on oath, depose and say that I am the person executing the above statement; that I believe that the facts as set forth in such statement are true and accurate; and that I do not have knowledge of any material facts in connection with such statement which are not fully and accurately set forth herein.

(Signature of Affiant)

(Address)

Subscribed and sworn to before me this _____ day of _____, 194 .

[NOTARIAL SEAL]

(Officer administering oath)

My commission expires_____

APPLICATION FOR A LICENSE TO ENGAGE IN A FOREIGN EXCHANGE TRANSACTION, TRANSFER OF CREDIT, PAYMENT, EXPORT OR WITHDRAWAL FROM THE UNITED STATES, OR THE EAR-MARKING, OF GOLD OR SILVER COIN OR BULLION OR CURRENCY, OR THE TRANSFER, WITHDRAWAL OR EXPORTATION OF, OR DEALING IN, EVIDENCES OF INDEBTEDNESS OR EVIDENCES OF OWNERSHIP OF PROPERTY.

To THE SECRETARY OF THE TREASURY
Washington, D. C.

Sir:

In accordance with Section 5(b) of the Act of October 6, 1917 (40 Stat. 411), as amended, Executive Order No. 8389 of April 10, 1940, as amended, relative to transactions in foreign exchange, transfers of credit, and the export of coin and currency, and the regulations and rulings issued thereunder, the undersigned hereby applies for a license to execute the transaction referred to in item E in the foregoing statement and any and all information contained in such statement may be treated as though furnished for the purpose of obtaining such license.

(Applicant)

By _____

State of _____ }
County of _____ } SS:

I, _____, on oath, depose and say that I am the applicant in the above application for license, or the _____,
(State relationship to applicant.)

of _____, which is the applicant in the above application for
(Name of applicant, if applicant is other than individual.)

a license; that I am duly authorized to make the foregoing application on behalf of the applicant; that I believe that the facts as set forth in such application and statement attached hereto are true and accurate; and that I do not have knowledge of any material facts in connection with such application or statement which are not fully and accurately set forth herein.

(Signature of affiant)

(Address)

Subscribed and sworn to before me this _____ day of _____, 194 .

(Notarial Seal)

(Officer administering oath.)

My commission expires _____

STATEMENT RELATING TO THE IMPORTATION OF SECURITIES INTO THE
UNITED STATES*

(To be executed and filed in triplicate with the Federal Reserve bank or Governor
or High Commissioner of a territory or possession of the United States to which
securities have been or are to be delivered under General Ruling No. 5.)

TO THE SECRETARY OF THE TREASURY

Washington, D. C.

Sir:

I

In accordance with Section 5(b) of the Act of October 6, 1917 (40 Stat. 411), as amended, Executive Order No. 8389 of April 10, 1940, as amended, relative to transactions in foreign exchange, etc., and the regulations and rulings issued thereunder, the undersigned makes the following statement relative to the securities or evidences thereof, hereinafter referred to as securities, which have been or will be delivered to a Federal Reserve bank or Governor or High Commissioner of a territory or possession of the United States under General Ruling No. 5.

A. My name is _____,

my residence or principal place of business is located at _____
(Street)

_____, _____, _____
(City) (State) (Country)

I am a citizen of _____, and since _____

_____ have been engaged in the business of _____

(State nature)

B. The following is a complete description of the securities which have been or will be delivered: (Include name of party issuing security, date of issuance, amount and serial number, and if security is not payable to bearer, the name of the registered or inscribed owner thereof; also state whether security bears the stamp or other mark of any foreign government, or political subdivision thereof, and, if so, describe fully.)

C. With respect to every party who has had any interest whatsoever, direct or indirect, in any of such securities on or since April 8, 1940, state from whom and in what manner such interest was acquired by such party; how payment was made therefor; whether any broker or bank was involved in the transaction and, if so, the name and address thereof.

* All definitions appearing in Executive Order No. 8389, of April 10, 1940, as amended, and the Regulations issued thereunder, shall apply to the terms employed herein.

ORIGINAL

- D. State fully and in detail the name, address, nationality** and extent of interest of every party having any interest whatsoever, direct or indirect, in any of such securities on or since July 1, 1939, including the exact period of time during which each such party has held such interest. Also state the countries in which such securities have been situated since July 1, 1939, giving dates.

II

- E. It is desired to engage in the following transaction involving the above-described securities which have been or will be delivered to a Federal Reserve bank or Governor or High Commissioner of a territory or possession of the United States: (State in detail the nature, purpose and amount of the transaction, including the purpose for which such securities have been or will be brought into the United States, and the name, address, nationality** and extent of interest of every party, including the undersigned, involved or interested in the transaction.)

III

- F. To the best of undersigned's knowledge, information and belief, no interest of any nature whatsoever, direct or indirect, in such securities has been held at any time by any country designated in Executive Order No. 8389, as amended, or any national thereof, except as follows:
- G. Has any interest of any nature whatsoever, direct or indirect, in such securities been held by any country designated in Executive Order No. 8389, as amended, or any national thereof, on or since the dates specified in such order? (Must be answered "yes" or "no" if possible. If answer is other than "no" explain fully.)
- H. The undersigned represents and warrants that to the best of his knowledge, information, and belief all the facts herein stated are correct and true and that he does not have knowledge of any material facts in connection with the transactions referred to in item E above or the securities involved herein which are not fully and accurately set forth herein. (Attach hereto schedules of any additional material information.)
- I. The undersigned represents and warrants that he has complied, and agrees that he will comply, in all respects with Executive Order No. 8389, of April 10, 1940, as amended, and the regulations and rulings issued thereunder, and with any and all licenses issued pursuant thereto.

** In the case of a corporation give country of incorporation, countries in which corporation is doing business and also predominant citizenship of stockholders.

J. The following named persons or firms *who are residents or citizens of the United States* are familiar with, or have information about, such securities or such transaction and may be called upon if necessary for supporting data relative thereto.

Name

Address

K. The following named persons or banking institutions *within the United States* have had previous dealings or transactions with the party or parties involved in the transaction referred to in item E above and may be referred to for information regarding previous dealings or transactions of this same general character: (Note: Include a short statement respecting particulars and nature of such dealings or transactions, dates and amounts involved.)

State of

County of

ss:

I, _____, on oath, depose and say that I am the person executing the above statement; that I believe that the facts as set forth in such statement are true and accurate; and that I do not have knowledge of any material facts in connection with such statement which are not fully and accurately set forth herein.

(Signature of Affiant)

(Address)

Subscribed and sworn to before me this _____ day of _____, 194 .

[NOTARIAL SEAL]

(Officer administering oath)

My commission expires_____

APPLICATION FOR A LICENSE TO ENGAGE IN A FOREIGN EXCHANGE TRANSACTION, TRANSFER OF CREDIT, PAYMENT, EXPORT OR WITHDRAWAL FROM THE UNITED STATES, OR THE EAR-MARKING, OF GOLD OR SILVER COIN OR BULLION OR CURRENCY, OR THE TRANSFER, WITHDRAWAL OR EXPORTATION OF, OR DEALING IN, EVIDENCES OF INDEBTEDNESS OR EVIDENCES OF OWNERSHIP OF PROPERTY.

To THE SECRETARY OF THE TREASURY
Washington, D. C.

Sir:

In accordance with Section 5(b) of the Act of October 6, 1917 (40 Stat. 411), as amended, Executive Order No. 8389 of April 10, 1940, as amended, relative to transactions in foreign exchange, transfers of credit, and the export of coin and currency, and the regulations and rulings issued thereunder, the undersigned hereby applies for a license to execute the transaction referred to in item E in the foregoing statement and any and all information contained in such statement may be treated as though furnished for the purpose of obtaining such license.

(Applicant)

By _____

State of _____ }
County of _____ } ss:

I, _____, on oath, depose and say that I am the applicant in the above application for license, or the _____,
(State relationship to applicant.)

of _____, which is the applicant in the above application for
(Name of applicant, if applicant is other than individual.)
a license; that I am duly authorized to make the foregoing application on behalf of the applicant; that I believe that the facts as set forth in such application and statement attached hereto are true and accurate; and that I do not have knowledge of any material facts in connection with such application or statement which are not fully and accurately set forth herein.

(Signature of affiant)

(Address)

Subscribed and sworn to before me this _____ day of _____, 194 .

(Notarial Seal)

(Officer administering oath.)

My commission expires _____

STATEMENT RELATING TO THE IMPORTATION OF SECURITIES INTO THE
UNITED STATES*

(To be executed and filed in triplicate with the Federal Reserve bank or Governor
or High Commissioner of a territory or possession of the United States to which
securities have been or are to be delivered under General Ruling No. 5.)

TO THE SECRETARY OF THE TREASURY
Washington, D. C.

Sir:

I

In accordance with Section 5(b) of the Act of October 6, 1917 (40 Stat. 411), as amended, Executive Order No. 8389 of April 10, 1940, as amended, relative to transactions in foreign exchange, etc., and the regulations and rulings issued thereunder, the undersigned makes the following statement relative to the securities or evidences thereof, hereinafter referred to as securities, which have been or will be delivered to a Federal Reserve bank or Governor or High Commissioner of a territory or possession of the United States under General Ruling No. 5.

A. My name is _____,

my residence or principal place of business is located at _____
(Street)

_____, _____, _____, _____
(City) (State) (Country)

I am a citizen of _____, and since _____

_____ have been engaged in the business of _____

(State nature)

B. The following is a complete description of the securities which have been or will be delivered: (Include name of party issuing security, date of issuance, amount and serial number, and if security is not payable to bearer, the name of the registered or inscribed owner thereof; also state whether security bears the stamp or other mark of any foreign government, or political subdivision thereof, and, if so, describe fully.)

C. With respect to every party who has had any interest whatsoever, direct or indirect, in any of such securities on or since April 8, 1940, state from whom and in what manner such interest was acquired by such party; how payment was made therefor; whether any broker or bank was involved in the transaction and, if so, the name and address thereof.

* All definitions appearing in Executive Order No. 8389, of April 10, 1940, as amended, and the Regulations issued thereunder, shall apply to the terms employed herein.

DUPLICATE

State fully and in detail the name, address, nationality** and extent of interest of every party having any interest whatsoever, direct or indirect, in any of such securities on or since July 1, 1939, including the exact period of time during which each such party has held such interest. Also state the countries in which such securities have been situated since July 1, 1939, giving dates.

II

- E. It is desired to engage in the following transaction involving the above-described securities which have been or will be delivered to a Federal Reserve bank or Governor or High Commissioner of a territory or possession of the United States: (State in detail the nature, purpose and amount of the transaction, including the purpose for which such securities have been or will be brought into the United States, and the name, address, nationality** and extent of interest of every party, including the undersigned, involved or interested in the transaction.)

III

- F. To the best of undersigned's knowledge, information and belief, no interest of any nature whatsoever, direct or indirect, in such securities has been held at any time by any country designated in Executive Order No. 8389, as amended, or any national thereof, except as follows:
- G. Has any interest of any nature whatsoever, direct or indirect, in such securities been held by any country designated in Executive Order No. 8389, as amended, or any national thereof, on or since the dates specified in such order? (Must be answered "yes" or "no" if possible. If answer is other than "no" explain fully.)
- H. The undersigned represents and warrants that to the best of his knowledge, information, and belief all the facts herein stated are correct and true and that he does not have knowledge of any material facts in connection with the transactions referred to in item E above or the securities involved herein which are not fully and accurately set forth herein. (Attach hereto schedules of any additional material information.)
- I. The undersigned represents and warrants that he has complied, and agrees that he will comply, in all respects with Executive Order No. 8389, of April 10, 1940, as amended, and the regulations and rulings issued thereunder, and with any and all licenses issued pursuant thereto.

** In the case of a corporation give country of incorporation, countries in which corporation is doing business and also predominant citizenship of stockholders.

J. The following named persons or firms *who are residents or citizens of the United States* are familiar with, or have information about, such securities or such transaction and may be called upon if necessary for supporting data relative thereto.

Name

Address

K. The following named persons or banking institutions *within the United States* have had previous dealings or transactions with the party or parties involved in the transaction referred to in item E above and may be referred to for information regarding previous dealings or transactions of this same general character: (Note: Include a short statement respecting particulars and nature of such dealings or transactions, dates and amounts involved.)

State of _____ }
County of _____ } ss:

I, _____, on oath, depose and say that I am the person executing the above statement; that I believe that the facts as set forth in such statement are true and accurate; and that I do not have knowledge of any material facts in connection with such statement which are not fully and accurately set forth herein.

(Signature of Affiant)

(Address)

Subscribed and sworn to before me this _____ day of _____, 194 .

[NOTARIAL SEAL]

(Officer administering oath)

My commission expires _____

APPLICATION FOR A LICENSE TO ENGAGE IN A FOREIGN EXCHANGE TRANSACTION, TRANSFER OF CREDIT, PAYMENT, EXPORT OR WITHDRAWAL FROM THE UNITED STATES, OR THE EAR-MARKING, OF GOLD OR SILVER COIN OR BULLION OR CURRENCY, OR THE TRANSFER, WITHDRAWAL OR EXPORTATION OF, OR DEALING IN, EVIDENCES OF INDEBTEDNESS OR EVIDENCES OF OWNERSHIP OF PROPERTY.

To THE SECRETARY OF THE TREASURY
Washington, D. C.

Sir:

In accordance with Section 5(b) of the Act of October 6, 1917 (40 Stat. 411), as amended, Executive Order No. 8389 of April 10, 1940, as amended, relative to transactions in foreign exchange, transfers of credit, and the export of coin and currency, and the regulations and rulings issued thereunder, the undersigned hereby applies for a license to execute the transaction referred to in item E in the foregoing statement and any and all information contained in such statement may be treated as though furnished for the purpose of obtaining such license.

(Applicant)

By _____

State of _____ }
County of _____ } SS:

I, _____, on oath, depose and say that I am the applicant in the above application for license, or the _____,
(State relationship to applicant.)

of _____, which is the applicant in the above application for
(Name of applicant, if applicant is other than individual.)

a license; that I am duly authorized to make the foregoing application on behalf of the applicant; that I believe that the facts as set forth in such application and statement attached hereto are true and accurate; and that I do not have knowledge of any material facts in connection with such application or statement which are not fully and accurately set forth herein.

(Signature of affiant)

(Address)

Subscribed and sworn to before me this _____ day of _____, 194 .

(Notarial Seal)

(Officer administering oath.)

My commission expires _____

STATEMENT RELATING TO THE IMPORTATION OF SECURITIES INTO THE
UNITED STATES*

(To be executed and filed in triplicate with the Federal Reserve bank or Governor
or High Commissioner of a territory or possession of the United States to which
securities have been or are to be delivered under General Ruling No. 5.)

TO THE SECRETARY OF THE TREASURY
Washington, D. C.

Sir:

I

In accordance with Section 5(b) of the Act of October 6, 1917 (40 Stat. 411), as amended, Executive Order No. 8389 of April 10, 1940, as amended, relative to transactions in foreign exchange, etc., and the regulations and rulings issued thereunder, the undersigned makes the following statement relative to the securities or evidences thereof, hereinafter referred to as securities, which have been or will be delivered to a Federal Reserve bank or Governor or High Commissioner of a territory or possession of the United States under General Ruling No. 5.

A. My name is _____,
my residence or principal place of business is located at _____
_____, _____, _____, _____
(City) (State) (Country)
I am a citizen of _____, and since _____
_____ have been engaged in the business of _____

(State nature)

B. The following is a complete description of the securities which have been or will be delivered: (Include name of party issuing security, date of issuance, amount and serial number, and if security is not payable to bearer, the name of the registered or inscribed owner thereof; also state whether security bears the stamp or other mark of any foreign government, or political subdivision thereof, and, if so, describe fully.)

C. With respect to every party who has had any interest whatsoever, direct or indirect, in any of such securities on or since April 8, 1940, state from whom and in what manner such interest was acquired by such party; how payment was made therefor; whether any broker or bank was involved in the transaction and, if so, the name and address thereof.

* All definitions appearing in Executive Order No. 8389, of April 10, 1940, as amended, and the Regulations issued thereunder, shall apply to the terms employed herein.

TRIPPLICATE

State fully and in detail the name, address, nationality** and extent of interest of every party having any interest whatsoever, direct or indirect, in any of such securities on or since July 1, 1939, including the exact period of time during which each such party has held such interest. Also state the countries in which such securities have been situated since July 1, 1939, giving dates.

II

- E. It is desired to engage in the following transaction involving the above-described securities which have been or will be delivered to a Federal Reserve bank or Governor or High Commissioner of a territory or possession of the United States: (State in detail the nature, purpose and amount of the transaction, including the purpose for which such securities have been or will be brought into the United States, and the name, address, nationality** and extent of interest of every party, including the undersigned, involved or interested in the transaction.)

III

- F. To the best of undersigned's knowledge, information and belief, no interest of any nature whatsoever, direct or indirect, in such securities has been held at any time by any country designated in Executive Order No. 8389, as amended, or any national thereof, except as follows:
- G. Has any interest of any nature whatsoever, direct or indirect, in such securities been held by any country designated in Executive Order No. 8389, as amended, or any national thereof, on or since the dates specified in such order? (Must be answered "yes" or "no" if possible. If answer is other than "no" explain fully.)
- H. The undersigned represents and warrants that to the best of his knowledge, information, and belief all the facts herein stated are correct and true and that he does not have knowledge of any material facts in connection with the transactions referred to in item E above or the securities involved herein which are not fully and accurately set forth herein. (Attach hereto schedules of any additional material information.)
- I. The undersigned represents and warrants that he has complied, and agrees that he will comply, in all respects with Executive Order No. 8389, of April 10, 1940, as amended, and the regulations and rulings issued thereunder, and with any and all licenses issued pursuant thereto.

** In the case of a corporation give country of incorporation, countries in which corporation is doing business and also predominant citizenship of stockholders.

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Federal Reserve Bank of St. Louis

J. The following named persons or firms *who are residents or citizens of the United States* are familiar with, or have information about, such securities or such transaction and may be called upon if necessary for supporting data relative thereto.

Name

Address

K. The following named persons or banking institutions *within the United States* have had previous dealings or transactions with the party or parties involved in the transaction referred to in item E above and may be referred to for information regarding previous dealings or transactions of this same general character: (Note: Include a short statement respecting particulars and nature of such dealings or transactions, dates and amounts involved.)

State of

County of

ss:

I, _____, on oath, depose and say that I am the person executing the above statement; that I believe that the facts as set forth in such statement are true and accurate; and that I do not have knowledge of any material facts in connection with such statement which are not fully and accurately set forth herein.

(Signature of Affiant)

(Address)

Subscribed and sworn to before me this _____ day of _____, 194 .

[NOTARIAL SEAL]

(Officer administering oath)

My commission expires_____

APPLICATION FOR A LICENSE TO ENGAGE IN A FOREIGN EXCHANGE TRANSACTION, TRANSFER OF CREDIT, PAYMENT, EXPORT OR WITHDRAWAL FROM THE UNITED STATES, OR THE EAR-MARKING, OF GOLD OR SILVER COIN OR BULLION OR CURRENCY, OR THE TRANSFER, WITHDRAWAL OR EXPORTATION OF, OR DEALING IN, EVIDENCES OF INDEBTEDNESS OR EVIDENCES OF OWNERSHIP OF PROPERTY.

To THE SECRETARY OF THE TREASURY
Washington, D. C.

Sir:

In accordance with Section 5(b) of the Act of October 6, 1917 (40 Stat. 411), as amended, Executive Order No. 8389 of April 10, 1940, as amended, relative to transactions in foreign exchange, transfers of credit, and the export of coin and currency, and the regulations and rulings issued thereunder, the undersigned hereby applies for a license to execute the transaction referred to in item E in the foregoing statement and any and all information contained in such statement may be treated as though furnished for the purpose of obtaining such license.

(Applicant)

By _____

State of _____ }
County of _____ } SS:

I, _____, on oath, depose and say that I am the applicant in the above application for license, or the _____,
(State relationship to applicant.)

of _____, which is the applicant in the above application for
(Name of applicant, if applicant is other than individual.)
a license; that I am duly authorized to make the foregoing application on behalf of the applicant; that I believe that the facts as set forth in such application and statement attached hereto are true and accurate; and that I do not have knowledge of any material facts in connection with such application or statement which are not fully and accurately set forth herein.

(Signature of affiant)

(Address)

Subscribed and sworn to before me this _____ day of _____, 194 .

(Notarial Seal)

(Officer administering oath.)

My commission expires _____