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Proceeding No.	91219477
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Filing Date	06/01/2016
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Part	14 of	29
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Declaration of Ignacio V. Duran
Exhibit N

91219477

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Mss:783 1868-1986 L523

Lehman Brothers. Lehman Brothers Records, 1868-2007 (inclusive): A Finding Aid

Baker Library



Harvard Business School, Boston, MA 02163

August 2007

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Descriptive Summary

Repository: Baker Library, Harvard Business School

Call No.: Mss:783 1868-1986 L523

Creator: Lehman Brothers

Title: Lehman Brothers records, 1868-2007 (inclusive)

Quantity: 350 linear ft. (157 v., 370 boxes)

Abstract: The collection contains administrative records of the investment banking firm Lehman Brothers and of Kuhn, Loeb & Company, another firm that merged with Lehman in 1977. Also includes the papers of numerous Lehman Brothers and Kuhn, Loeb & Company executives and their families.

Processing Information:

Processed: 2003-2011

By: Liz Slade, Sara Cheeseman, Nicole DeAngelo, Laura Morris, Benjamin Johnson, and Tim Mahoney.

Provenance:

Gift of Lehman Brothers, 2002, 2008.

Access Restrictions:

Appointment necessary to consult collection.

Preferred Citation:

Cite as: Lehman Brothers Records, Baker Library Historical Collections, Harvard Business School.

Historical Note:

Lehman Brothers was founded as a cotton brokerage in Alabama in 1850. Henry Lehman emigrated from Germany and in 1844 established a small shop selling groceries, dry goods and utensils to the local cotton farmers. By 1850, his brothers Emanuel and Mayer joined him in the business, which they named Lehman Brothers. The brothers moved their operations to New York City in 1858. Lehman Brothers quickly evolved from a general merchandising business into a commodities brokerage, eventually becoming a merchant banking firm offering sizable securities trading and financial advisory services. The firm's ability to identify growth industries—particularly in transportation, communication, and entertainment—led to tremendous achievements over many decades.

Robert Lehman, the grandson of Emanuel Lehman, became a partner in the firm during the 1920s and quickly moved into the leadership role. Robert Lehman was the firm's senior partner, a position he held from 1925 until his death in 1969. Under his leadership, Lehman Brothers cultivated and maintained its interest in retail merchandising and became particularly noted for financing and consolidating firms from the air transportation, entertainment and communication industries. In 1929 the firm formed Lehman Corporation, its own investment company, which traded its stocks and bonds on the New York Stock Exchange and proved one of Lehman Brothers' most successful creations. It also built up an Investment Advisory Service for wealthy individuals that proved highly successful. Lehman Brothers was innovative throughout Robert Lehman's tenure; in 1967 it placed among the nation's top four investment banks in total dollar volume.

In the 1960s, the firm greatly expanded its capital markets trading capabilities, particularly in commercial paper, leading to its designation as an official dealer for the United States Department of the Treasury. Many of Lehman Brothers' clients expanded their business overseas during this time, and Lehman Brothers opened offices in Paris in 1960 and London in 1972 to meet international financing needs.

In 1977, Lehman Brothers, Inc. merged with Kuhn, Loeb & Company to form Lehman Brothers, Kuhn, Loeb. Kuhn, Loeb & Company was founded by Abraham Kuhn and Solomon Loeb, who began working as commercial partners in 1850, selling clothing and dry-goods in Indiana and Ohio. In 1867, they co-founded a private banking house in New York with assets estimated at half a million dollars. Jacob H. Schiff and Abraham L. Wolff joined Kuhn, Loeb & Company as partners in 1875, and Felix M. Warburg and Otto H. Kahn became partners in 1897. By the end of the nineteenth century, the firm numbered among the six leading investment houses in the country. Kuhn, Loeb & Company eventually branched out into transportation finance, underwriting and financial advisory. The firm also managed loans and securities sales for foreign governments and municipalities, eventually introducing shares of large foreign corporations into the American market. Kuhn, Loeb & Company dealt primarily with institutional investors and corporate clients, though a financial advisory department for affluent individuals was formed in the 1960s.

Early success in the railroad industry enabled Kuhn, Loeb & Company to become leaders in the field of transportation underwriting and reorganization. The firm also served as banker for the shipping and airline industries. Kuhn, Loeb & Company also managed loans and securities sales for foreign governments and municipalities, eventually introducing shares of large foreign corporations into the American market. They acted as financial advisors to many corporations, including Bethlehem Steel Company, the Chemical New York Corporation, Inland Steel Company, Westinghouse Electric Corporation, and Western Union Telegraph Company. The firm dealt primarily with institutional investors and corporate clients, though it did run an investment advisory department for wealthy individuals and began trading bonds in the 1960s.

The combined firm remained Lehman Brothers, Kuhn, Loeb until 1984, when it was acquired by American Express to form Shearson Lehman Brothers. In 1993, the firm was spun off and once again became known solely as Lehman Brothers. Lehman Brothers filed for Chapter 11 bankruptcy protection in 2008.

For several generations, partners of both firms were often related, by birth or marriage, to descendants of the founding families. Robert Lehman was senior partner for over forty years of the firm founded by his paternal grandfather and great-uncles, and members of the Warburg, Schiff and Kahn families were partners in Kuhn, Loeb & Company for almost a century. Multi-generational involvement in the family firm was significant.

These families collaborated not only in business endeavors, but also in philanthropic and charitable undertakings. All served on numerous corporate and charitable boards. Robert Lehman, perhaps most acknowledged for the legacy of his art collection to the Metropolitan Museum of Art in New York, also gave generously to a wide array of humanitarian organizations. The Warburg family, renowned for their multi-generational involvement in American-Jewish issues and philanthropies, was also actively involved in arts, education and social work endeavors. Otto H. and Addie Wolff Kahn were noted patrons of the arts, and particularly supported the Metropolitan Opera Company in New York. John Schiff was closely involved with the Boy Scouts of America and served as the organization's president for many years.

All of the families maintained homes in New York City and estates elsewhere. Each of these families provided financially for its own members through various trusts, and several established foundations to manage their charitable contributions and efforts most effectively. The Lehman Foundation, the Schiff Foundation and the Warburg Foundation all supported charitable undertakings on a large scale.

Scope and Content Note:

The collection consists of records created by Lehman Brothers, by Kuhn Loeb & Company before it merged with Lehman in 1977, and by Lehman Brothers, Kuhn, Loeb after the merger. There are four series: executive records, which document the activities of numerous Lehman Brothers and Kuhn Loeb & Co. partners and their families; administrative records, which document the business operations of both Lehman Brothers and Kuhn Loeb & Company; partnership agreements for Kuhn Loeb & Company and Lehman Brothers; and photographs.

The records date from 1868 to 2007 and include correspondence, receipts, reports, bank statements and cancelled checks, bound ledgers, client files, partnership agreements, photographs, newspaper clippings, bills, tax reports, trust documents, wills, meeting minutes, blueprints, trading statements and memorabilia.

The records in the addenda consist of similar material to records in the existing collection. Areas in which the addenda records do not overlap include material related to Lehman Brothers Kuhn Loeb after the merger dating from the 1980s to 2000s. The bulk of this material dates in the 1980s and 1990s. Also included is personal papers related to Robert Lehman, Lehman family trust and estate documents, and early business papers, partnerships agreements, and bound volumes of Lehman Brothers.

Processing Note:

An addenda to the Lehman Brothers records arrived in 2008. This new material was added to the existing collection, which was donated in 2002. Much of the material in the addenda is similar to the existing collection. Slight effort was made to physically or intellectually integrate the new material into

the existing collection. This decision was made due to the complexities and size of the collection. The existing collection (2002 donation) can be found in boxes and volumes numbered 1 to 526. The addenda can be found in any unit, box or volume numbered 527 to 731.

Related Materials

The Metropolitan Museum of Art holds the Robert Lehman papers, which contain materials related to Robert Lehman's association with the MET and the development of his art collection that he donated to the museum.

Series Outline

The collection is arranged in the following series:

- Series I. Executive records, 1868-1994
 - Subseries I.1 Robert Lehman records, 1894-1994
 - Subseries I.2 Kahn family records, 1892-1975
 - Subseries I.3 John Schiff records, 1898-1977
 - Subseries I.4 Warburg family records, 1899-1971
 - Subseries I.5 Hugh Knowlton records, 1868-1963
 - Subseries I.6 Clifford Michel records, 1951-1973
 - Subseries I.7 Family trust and investment statement books, 1923-1969
 - Subseries I.8 Lehman family, 1868-1977
- Series II. Administrative records, 1877-2007
 - Subseries II.1 Office files—Clients, 1888-1981
 - Subseries II.2 Kuhn, Loeb & Co., 1946-1978
 - Subseries II.3 Lehman Brothers, 1877-2007
- Series III. Partnerships agreements, 1868-1977
 - Subseries III.1.1 Kuhn, Loeb & Company partnership agreements, 1868-1977
 - Subseries III.1.2 Lehman Brothers Partnership Agreements, 1904-1968
- Series IV. Photographs

Detailed Description of the Collection

• Series I. Executive records, 1868-1981

Scope and Content: This series contains personal records of Robert Lehman, senior partner at Lehman Brothers from 1925 to 1969, and of five prominent Kuhn, Loeb & Company executives and their families. The records are divided, according to creator(s), into six subseries: Robert Lehman records, Kahn family records, John M. Schiff records, Warburg family records, Hugh Knowlton records, and Clifford Michel records. Staff at Lehman Brothers and Kuhn, Loeb & Company maintained detailed records of the personal and financial activities of these partners and their families. The records include personal and business correspondence and a wide variety of financial records.

A seventh subseries of family trust and investment statement books, 1923-1969, consists of bound account books used for financial record keeping of members of the Kahn, Schiff and Warburg families. An eighth subseries contains trusts, wills, deeds, property agreements, estate papers, and miscellaneous family administrative papers of Lehman family members.

◦ Subseries I.1 Robert Lehman records, 1894-1994

Scope and Content: Robert Lehman, son of Philip Lehman and Carrie Lauer, was born in New York City in 1891. He was educated at the Hotchkiss School and at Yale University,

where he received a B.A. in 1913. Following graduation, Robert worked for his father for several years, most notably helping Philip Lehman augment his art collection. He then enlisted in the United States Army during World War I, serving in France from 1917 to 1919. Upon his return from the war, Lehman joined Lehman Brothers, the banking firm co-founded by his grandfather Emanuel Lehman and great-uncles Henry and Mayer Lehman in 1850. By 1921 he was a partner, and in 1925 he became the firm's principal partner, a position he held for the rest of his life. Lehman married three times and had a son, Robert Owen Lehman, Jr. (also called Robin,) with his second wife, Ruth Owen Meeker. He also had four stepdaughters.

Robert Lehman was a philanthropist, an art collector, and a race horse breeder. His private art collection was widely considered among the greatest of the time. During his lifetime, Lehman housed most of the collection in his parents' mansion on West 54th Street in New York City. Robert Lehman welcomed experts and art students alike to visit his private museum. Lehman was generous in lending paintings and objects for exhibitions, including a 1954 show at the Metropolitan Museum of Art in New York and a 1957 show at the Musée de l'Orangerie in Paris. Lehman joined the Metropolitan Museum of Art's Board of Trustees in 1941 and was made Chairman of the Board in 1967. In 1968, Yale University awarded Lehman an honorary doctorate of humane letters. Lehman died at his home in Sands Point, New York in 1969. Upon his death, the bulk of his art collection was donated to the Metropolitan Museum of Art. It is housed in the Lehman Wing, which opened in 1975.

This subseries contains Robert Lehman's personal correspondence and records, maintained by his staff at Lehman Brothers. The bulk of the papers date from 1940 to 1969. The papers contain information about Mr. Lehman's personal finances and investments, including financial reports, bank statements and cancelled checks, tax returns, bills and receipts. There are also records and correspondence related to his personal charitable contributions, loans to organizations, and loans to individuals. Also included in this subseries are records pertaining to Lehman's role as a longtime member of the board of trustees at the Metropolitan Museum of Art. Correspondence and other records document his fund-raising efforts, his influence on museum policy and his many donations. The records also contain information about the negotiations (before and after Lehman's death) to donate the bulk of his collection to the Museum.

This subseries contains personal correspondence with family, friends, employees, business acquaintances and others. It also includes bills, receipts, clippings and correspondence related to Lehman's hobby of thoroughbred horse racing. Additionally, there are management files for Lehman's real estate holdings, which included homes in New York City; country estates at Brandy Brook in Quebec, Canada, and Robinwood in upstate New York; and an estate at Sands Point, Long Island, New York. These files contain purchase and sales information, property records, maintenance bills and correspondence with caretakers. Also notable among the properties documented is the 7 West 54th Street mansion, where Lehman's art collection was housed during his lifetime.

Correspondence is arranged alphabetically by subject and divided into two major sections: Correspondence—General and Correspondence—Personal. There are also receipts, arranged alphabetically; auction catalogs, arranged chronologically; bank statements and cancelled checks, arranged chronologically by institution; desk calendars and appointment books arranged chronologically; and memorabilia. For similar material related to the Lehman family, not specifically Robert Lehman, see Series I.9 Lehman family records.

▪ **I.1.1A Correspondence—General, 1922-1975**

- **Box 1, f. 1** American Cancer Society, [1965-1967]
- **Box 1, f. 2** American Friends of Versailles, Inc., [1953-1955]
- **Box 1, f. 3** Aviation, [1944-1959]

- **Box 1, f. 4** A Miscellaneous Correspondence, 1948-1962
- **Box 1, f. 5** A Miscellaneous Correspondence, 1963-1964
- **Box 1, f. 6** Bank Accounts: Bank of America, [1956]
- **Box 1, f. 7** Bank Accounts: Bank of Hawaii, 1960-1963
- **Box 1, f. 8** Bank Accounts: Bank of Hawaii, 1965-1968
- **Box 1, f. 9** Bank Accounts: Bank of Manhattan, [1953]
- **Box 1, f. 10** Bank Accounts: Bankers Trust Company, 1966-1967
- **Box 1, f. 11** Bank Accounts: Bankers Trust Company, 1968
- **Box 1, f. 12** Bank Accounts: Banque De Paris & Des Pays Bas, 1960-1965
- **Box 1, f. 13** Bank Accounts: Banque De Paris & Des Pays Bas, 1965-1967
- **Box 1, f. 14** Bank Accounts: Banque Rothschild, 1960-1969
- **Box 1, f. 15** Bank Accounts: First National Bank of Miami, 1967
- **Box 1, f. 16** Bank Accounts: First National City Bank, 1961-1963
- **Box 1, f. 17** Bank Accounts: First National City Bank, 1964-1966
- **Box 1, f. 18-19** Bank Accounts: First National City Bank, 1963-1969
- **Box 1, f. 20** Bank Accounts: Franklin National Bank, 1963-1965
- **Box 1, f. 21** Bank Accounts: Franklin National Bank, 1966-1968
- **Box 2, f. 1** Bank Accounts: Marine Midland Trust Company of Northern New York, 1959-1964
- **Box 2, f. 2** Bank Accounts: Meadowbrook National Bank, 1954-1957
- **Box 2, f. 3** Bank Accounts: Meadowbrook National Bank, 1958-1959
- **Box 2, f. 4** Bank Accounts: Meadowbrook National Bank, 1960-1961
- **Box 2, f. 5** Bank Accounts: Meadowbrook National Bank, 1961-1963
- **Box 2, f. 6** Bank Accounts: Meadowbrook National Bank, 1964-1965
- **Box 2, f. 7** Bank Accounts: Morgan Guaranty Trust Company, 1960-1969
- **Box 2, f. 8** Bank Accounts: Morgan Guaranty Trust Company, 1960-1969
- **Box 2, f. 9** Bank Accounts: National Bank of North America, 1967
- **Box 2, f. 10** Bank Accounts: Pictet & Cie (Geneva), 1961-1968
- **Box 2, f. 11** Bank Accounts: Rothschild Frères, 1949-1953
- **Box 2, f. 12** Bank Accounts: Rothschild Frères, 1949-1953
- **Box 3, f. 1** Bank Accounts: Rothschild Frères, 1954-1956
- **Box 3, f. 2** Bank Accounts: Rothschild Frères, 1956-1960
- **Box 3, f. 3** Bank Accounts: Royal Bank of Canada, 1945
- **Box 3, f. 4** Bank Accounts: Royal Bank of Canada, 1966-1967
- **Box 3, f. 5** Bank Accounts: Royal Bank of Canada, 1967
- **Box 3, f. 6** Bank Accounts: Royal Bank of Canada, 1968-1969
- **Box 3, f. 7** B Miscellaneous Correspondence, 1948-1962
- **Box 3, f. 8** B Miscellaneous Correspondence, 1963-1964, 1968
- **Box 3, f. 9** Callery: Knight Groves, 1965
- **Box 4, f. 1** Callery Interests, 1952-1953
- **Box 4, f. 2** Cameras, [1947-1948, 1950, 1954-1956]
- **Box 4, f. 3** Campus Sweater [&] Sportswear Co., 1965
- **Box 4, f. 4** Candy Companies, [1966]
- **Box 4, f. 5** Carib Air, 1966
- **Box 4, f. 6** Caterpillar Tractor Co., [1962-1965]
- **Box 4, f. 7** Cattle (Spring Creek Ranch), [1964-1967]
- **Box 4, f. 8** Chadbourne Legal Papers, [1933-1937, 1942]
- **Box 4, f. 9** Chinese Immigration, [1967-1968]
- **Box 4, f. 10** Circus, Saints, & Sinners, [1953, 1955-1958, 1963]
- **Box 4, f. 11** Clay, General Lucius D., [1963]

- **Box 4, f. 12** Clay, General Lucius, D.: Newspaper Clippings, [1963]
- **Box 4, f. 13** Coca-Cola Company, 1962
- **Box 4, f. 14** Commercial Banks (Underwriting of bonds), [1963]
- **Box 4, f. 15** Commercial Paper, [1963-1968]
- **Box 4, f. 16** Confederate Corporation, [1962-1963]
- **Box 4, f. 17** Consolidated Foods Corp., [1966]
- **Box 4, f. 18** Contributions: A, 1959-1960
- **Box 4, f. 19** Contributions: A, 1961-1962
- **Box 4, f. 20** Contributions: A, 1963-1964
- **Box 4, f. 21** Contributions: A, 1965-1966
- **Box 5, f. 1** Contributions: B, 1956-1962
- **Box 5, f. 2** Contributions: B, 1963-1966
- **Box 5, f. 3** Contributions: C, 1955-1959
- **Box 5, f. 4** Contributions: C, 1960-1961
- **Box 5, f. 5** Contributions: C, 1962-1964
- **Box 5, f. 6** Contributions: C, 1965-1966
- **Box 5, f. 7** Contributions: D, 1959-1968
- **Box 5, f. 8** Contributions: E, 1959-1966
- **Box 5, f. 9** Contributions: F, 1959-1962
- **Box 5, f. 10** Contributions: F, 1963-1968
- **Box 5, f. 11** Contributions: G, 1958-1964
- **Box 5, f. 12** Contributions: G, 1965-1968
- **Box 5, f. 13** Contributions: H, 1951-1956
- **Box 5, f. 14** Contributions: H, 1957-1961
- **Box 5, f. 15** Contributions: H, 1962-1964
- **Box 6, f. 1** Contributions: H, 1965-1969
- **Box 6, f. 2** Contributions: I, 1959-1967
- **Box 6, f. 3** Contributions: J, 1959-1968
- **Box 6, f. 4** Contributions: Joint Defense Appeal, 1953-1961
- **Box 6, f. 5** Contributions: K, 1959-1966
- **Box 6, f. 6** Contributions: L, 1953-1958
- **Box 6, f. 7** Contributions: L, 1959-1962
- **Box 6, f. 8** Contributions: L, 1963-1968
- **Box 6, f. 9** Contributions: M, 1959-1963
- **Box 6, f. 10** Contributions: M, 1964-1966
- **Box 6, f. 11** Contributions: N, 1953-1958
- **Box 6, f. 12** Contributions: N, 1959-1960
- **Box 6, f. 13** Contributions: N, 1961-1962
- **Box 7, f. 1** Contributions: N, 1963-1964
- **Box 7, f. 2** Contributions: N, 1965-1966
- **Box 7, f. 3** Contributions: P, 1958-1963
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- **Box 7, f. 5** Contributions: Political, 1960-1961
- **Box 7, f. 6** Contributions: R, 1959-1966
- **Box 7, f. 7** Contributions: Records, 1942-1957
- **Box 7, f. 8** Contributions: S, 1959-1961
- **Box 7, f. 9** Contributions: S, 1962-1966
- **Box 7, f. 10** Contributions: T, 1959-1967
- **Box 7, f. 11** Contributions: U, 1954-1960
- **Box 7, f. 12** Contributions: U, 1961-1963

- **Box 7, f. 13** Contributions: U, 1964-1967
- **Box 8, f. 1** Contributions: United Jewish Appeal, [1957-1968]
- **Box 8, f. 2** Contributions: V, 1959-1966
- **Box 8, f. 3** Contributions: W, 1959-1966
- **Box 8, f. 4** Contributions: X-Y-Z, 1965
- **Box 8, f. 5** Convertible Issue, 1965
- **Box 8, f. 6** Cooper Rand: Chibougamu Jaculet, [1957]
- **Box 8, f. 7** Copy Research, [1961-1963]
- **Box 8, f. 8** Council on Foreign Relations, [1949-1967]
- **Box 8, f. 9** Credit Cards: RL, 1969
- **Box 8, f. 10** C.R.I.A. [Committee to Restore Italian Art.] [1966-1967]
- **Box 8, f. 11** C Miscellaneous Correspondence, 1948-1959
- **Box 8, f. 12** C Miscellaneous Correspondence, 1960-1962
- **Box 8, f. 13** C Miscellaneous Correspondence, 1963
- **Box 8, f. 14** C Miscellaneous Correspondence, 1964
- **Box 8, f. 15** C Miscellaneous Correspondence, 1965
- **Box 8, f. 16** C Miscellaneous Correspondence, 1966-1968
- **Box 9, f. 1** Daniels, Richard: Real Estate: Puerto Rico, [1964, 1966-1969]
- **Box 9, f. 2** Davies, Paul, [1966-1967]
- **Box 9, f. 3** Deepdale Golf Course, [1954-1964, 1967]
- **Box 9, f. 4** Del E. Webb Enterprises, [1959-1964]
- **Box 9, f. 5** Detectives [notes,] [undated]
- **Box 9, f. 6** Dogs (Pedigrees, etc.), [1935-1939, 1942-1944, 1947-1950]
- **Box 9, f. 7** Drew Chemical: Emery Ind., [1961, 1964-1966]
- **Box 9, f. 8** D Miscellaneous Correspondence, 1948-1962
- **Box 9, f. 9** D Miscellaneous Correspondence, 1963-1964
- **Box 9, f. 10** D Miscellaneous Correspondence, 1965-1967
- **Box 9, f. 11** Eisenhower Exchange Fellowship, Inc., [1955-1958]
- **Box 9, f. 12** Electronatom Corp., [1953-1956, 1962-1964, 1967-1969]
- **Box 9, f. 13** Elevator, [1969]
- **Box 9, f. 14** Emery Industries, Inc., [1966-1967]
- **Box 10, f. 1** E Miscellaneous Correspondence, 1948-1962
- **Box 10, f. 2** E Miscellaneous Correspondence, 1963-1964
- **Box 10, f. 3** E Miscellaneous Correspondence, 1965-1967
- **Box 10, f. 4** Federation of Jewish Philanthropies, 1954-1965
- **Box 10, f. 5** Federation of Jewish Philanthropies, 1954-1965
- **Box 10, f. 6** Fell Condolence Letters, 1961
- **Box 10, f. 7** Ford Motor Company, [1955-1959]
- **Box 10, f. 8** *Fortune* article: etc., 1957
- **Box 10, f. 9** Frantz, [1956, 1961, 1963-1968]
- **Box 10, f. 10** F Miscellaneous Correspondence, 1948-1962
- **Box 10, f. 11** F Miscellaneous Correspondence, 1963-1964
- **Box 10, f. 12** F Miscellaneous Correspondence, 1965-1968
- **Box 10, f. 13-16** Goudchaux Family, [1944-1969]
- **Box 11, f. 1-4** Goudchaux Family, [1944-1969]
- **Box 11, f. 5** Gridiron Dinner, 1955
- **Box 11, f. 6** G Miscellaneous, 1948-1959
- **Box 11, f. 7** G Miscellaneous, 1960-1962
- **Box 11, f. 8** Hammerslough, William J., [Condolence Letters,] 1963
- **Box 11, f. 9** Hancock Condolence Letters, October 1956

- **Box 11, f. 10** Hauert, Roger, [1961-1963]
- **Box 11, f. 11** Hertz Condolence Letters, [1961]
- **Box 11, f. 12-13** Hertz Foundation, 1957-1962
- **Box 12, f. 1** Horses, [1966-1969]
- **Box 12, f. 2** Horses, [1966-1969]
- **Box 12, f. 3-4** Hotels: General, [1955-1967]
- **Box 12, f. 5** Hospitalization, [1939-1966]
- **Box 12, f. 6** Huntington Hartford, 1966
- **Box 12, f. 7** Humor, [1943]
- **Box 12, f. 8** H Miscellaneous Correspondence, 1948-1962
- **Box 12, f. 9** H Miscellaneous Correspondence, 1963-1964
- **Box 12, f. 10** H Miscellaneous Correspondence, 1965-1966
- **Box 12, f. 11** H Miscellaneous Correspondence, 1967-1968
- **Box 12, f. 12** Ickelheimer, [1938 - June 1961]
- **Box 12, f. 13** Ickelheimer, [July 1961-1962]
- **Box 12, f. 14** Ickelheimer Condolence Letters, 1961
- **Box 13, f. 1** Ickelheimer Estate, 1964-1967
- **Box 13, f. 2** Ickelheimer, Henry (Condolence Letters) and Estate, [1940-1944]
- **Box 13, f. 3** Interior Decorating, [1954, 1963]
- **Box 13, f. 4** International Economic Research Bureau: Baxter Reports, 1963
- **Box 13, f. 5-7** Isles Condolence Letters, [October-November 1960]
- **Box 13, f. 8** Isles Estate, [October 1960]
- **Box 13, f. 9** Isles Estate, [November 1960]
- **Box 13, f. 10** Isles Estate, [December 1960]
- **Box 13, f. 11** Isles Estate, [January-March 1961]
- **Box 13, f. 12** Isles Estate, [April-June 1961]
- **Box 13, f. 13** Isles Estate, 1961-1964
- **Box 14, f. 1** Isles Estate, 1965-1966
- **Box 14, f. 2** Isles Estate, 1967-1969
- **Box 14, f. 3** Isles Family, 1960-1961
- **Box 14, f. 4** I Miscellaneous Correspondence, 1948-1962
- **Box 14, f. 5** I Miscellaneous Correspondence, 1963-1964
- **Box 14, f. 6** Jacobi Systems Corp., [1967-1969]
- **Box 14, f. 7** Jewelry: Appraisals, etc., [1934-1965]
- **Box 14, f. 8** John F. Kennedy Center for the Performing Arts, [1967-1968]
- **Box 14, f. 9** Johnson Wax Co.: Racine, Wis., [1958-1967]
- **Box 14, f. 10** J Miscellaneous Correspondence, 1948-1959
- **Box 14, f. 11** J Miscellaneous Correspondence, 1960-1967
- **Box 15, f. 1** K Miscellaneous Correspondence, 1948-1959
- **Box 15, f. 2** K Miscellaneous Correspondence, 1960-1964
- **Box 15, f. 3** K Miscellaneous Correspondence, 1965-1967
- **Box 15, f. 4** Lauterstein & Lauterstein (re: wills), [1940-1963]
- **Box 15, f. 5** Lauterstein & Lauterstein (re: wills), [1964]
- **Box 15, f. 6** Lauterstein & Lauterstein (re: wills), [1965-1968]
- **Box 15, f. 7** Lazard Frères Agreement, [1963]
- **Box 15, f. 8** Lehman Brothers: Cincinnati, [1959-1964]
- **Box 15, f. 9** Lehman Brothers: Paris, [1959-1969]
- **Box 16, f. 1** Lehman Brothers Partners, [1961-1962]
- **Box 16, f. 2** Lehman Brothers Partners, [1963]
- **Box 16, f. 3** Lehman Brothers Partners, [1964-1965]

- **Box 16, f. 4** Lehman Brothers Partners, [1966-1967]
- **Box 16, f. 5** Lehman Brothers Partners, [1968-1969]
- **Box 16, f. 6** Lehman Brothers Quarter Century Club, [1948-1959]
- **Box 16, f. 7** Lehman Brothers Quarter Century Club, [1960-1969]
- **Box 16, f. 8** Lincoln Center for the Performing Arts, [1958-1959]
- **Box 16, f. 9** Lincoln Center for the Performing Arts, [1960-1966]
- **Box 16, f. 10** Lincoln Center: Contributions, [1959-1965]
- **Box 17, f. 1** Loans, [1938-1945]
- **Box 17, f. 2** Loans, [1946-1967]
- **Box 17, f. 3** Loew's Theatres, 1956
- **Box 17, f. 4** Loew's Theatres, 1957
- **Box 17, f. 5** Loew's Theatres, 1958-1959
- **Box 17, f. 6** L Miscellaneous Correspondence, 1948-1955
- **Box 17, f. 7** L Miscellaneous Correspondence, 1956-1959
- **Box 17, f. 8** L Miscellaneous Correspondence, 1960-1962
- **Box 17, f. 9** L Miscellaneous Correspondence, 1963
- **Box 17, f. 10** L Miscellaneous Correspondence, 1964-1965
- **Box 17, f. 11** L Miscellaneous Correspondence, 1966-1967
- **Box 18, f. 1** MacVeigh (Letters re: contributions, etc.), 1958
- **Box 18, f. 2** Metropolitan Museum of Art, 1947
- **Box 18, f. 3** Metropolitan Museum of Art, 1948
- **Box 18, f. 4** Metropolitan Museum of Art, 1949-1951
- **Box 18, f. 5** Metropolitan Museum of Art, 1952-1954
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 - **Box 588, f. 5** The Robert Lehman Collection-Metropolitan Museum of Art
 - **Box 588, f. 6** Eighteenth Century Italian Drawings from the Robert Lehman Collection, 1981
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 - **Box 69, f. 1** [Lehman, Robert: Cancelled Checks, First Natl. City Bank, November 1963-January 1964]
 - **Box 69, f. 2** [Lehman, Robert: Cancelled Checks, First Natl. City Bank, February-April 1964]
 - **Box 69, f. 3** [Lehman, Robert: Cancelled Checks, First Natl. City Bank, May-June 1964]
 - **Box 69, f. 4** [Lehman, Robert: Cancelled Checks, First Natl. City Bank, July-August 1964]
 - **Box 69, f. 5** [Lehman, Robert: Cancelled Checks, First Natl. City Bank, September-October 1964]
 - **Box 69, f. 6** [Lehman, Robert: Cancelled Checks, First Natl. City Bank, November-December 1964]
 - **Box 69, f. 7** [Lehman, Robert: Cancelled Checks, First Natl. City Bank, January-February 1965]
 - **Box 70, f. 1** [Lehman, Robert: Cancelled Checks, First Natl. City Bank, March-April 1965]
 - **Box 70, f. 2** [Lehman, Robert: Cancelled Checks, First Natl. City Bank, May-June 1965]
 - **Box 70, f. 3** [Lehman, Robert: Cancelled Checks, First Natl. City Bank, July-August 1965]
 - **Box 70, f. 4** [Lehman, Robert: Cancelled Checks, First Natl. City Bank, September-October 1965]
 - **Box 70, f. 5** [Lehman, Robert: Cancelled Checks, First Natl. City Bank, November-December 1965]
 - **Box 70, f. 6** [Lehman, Robert: Statements, First Natl. City Bank, November 1964-November 1965]
 - **Box 71, f. 1** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, December 13, 1965-January 12, 1966]
 - **Box 71, f. 2** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, January 13-February 10, 1966]
 - **Box 71, f. 3** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, February 11-March 10, 1966]
 - **Box 71, f. 4** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, March 11-April 12, 1966]
 - **Box 71, f. 5** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, April 13-May 11, 1966]
 - **Box 71, f. 6** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, May 12-June 10, 1966]
 - **Box 71, f. 7** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, June 13-July 13, 1966]
 - **Box 71, f. 8** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, July 14-August 10, 1966]
 - **Box 72, f. 1** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, August 11-August 31, 1966]
 - **Box 72, f. 2** [Lehman, Robert: Statements and Cancelled Checks, First Natl.

- City Bank, August 31-September 13, 1966]
- **Box 72, f. 3** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, September 14-October 3, 1966]
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 - **Box 72, f. 5** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, October 14-November 14, 1966]
 - **Box 72, f. 6** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, November 15-December 12, 1966]
 - **Box 72, f. 7** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, December 12, 1966-January 12, 1967]
 - **Box 72, f. 8** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, January 13-February 10, 1967]
 - **Box 73, f. 1** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, February 14-March 10, 1967]
 - **Box 73, f. 2** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, March 13-April 12, 1967]
 - **Box 73, f. 3** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, April 13-May 10, 1967]
 - **Box 73, f. 4** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, May 11-June 12, 1967]
 - **Box 73, f. 5** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, June 28-July 13, 1967]
 - **Box 73, f. 6** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, July 14-August 10, 1967]
 - **Box 73, f. 7** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, August 11-22, 1967]
 - **Box 74, f. 1** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, August 22-September 13, 1967]
 - **Box 74, f. 2** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, September 14-October 11, 1967]
 - **Box 74, f. 3** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, October 13-November 13, 1967]
 - **Box 74, f. 4** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, November 14-December 12, 1967]
 - **Box 74, f. 5** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, December 13, 1967-January 11, 1968]
 - **Box 74, f. 6** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, January 12-February 13, 1968]
 - **Box 74, f. 7** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, February 14-March 12, 1968]
 - **Box 75, f. 1** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, March 13-April 10, 1968]
 - **Box 75, f. 2** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, April 11-May 10, 1968]
 - **Box 75, f. 3** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, May 13-July 11, 1968]
 - **Box 75, f. 4** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, July 12-August 12, 1968]
 - **Box 75, f. 5** [Lehman, Robert: Statements and Cancelled Checks, First Natl.

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- **Box 75, f. 6** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, September 13-October 10, 1968]
 - **Box 75, f. 7** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, October 11-November 14, 1968]
 - **Box 75, f. 8** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, November 15-December 11, 1968]
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 - **Box 76, f. 1** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, January 14-Feb 13, 1969]
 - **Box 76, f. 2** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, February 14-March 12, 1969]
 - **Box 76, f. 3** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, March 13-April 10, 1969]
 - **Box 76, f. 4** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, April 11-May 12, 1969]
 - **Box 76, f. 5** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, May 13-June 11, 1969]
 - **Box 76, f. 6** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, June 12-July 11, 1969]
 - **Box 76, f. 7** [Lehman, Robert: Statements and Cancelled Checks, First Natl. City Bank, July 14-August 12, 1969]
 - **Box 76, f. 8** [Lehman, Robert: Cancelled Checks, Royal Bank of Canada, 1968-1969]
 - **Box 77, f. 1** [Lehman, Robert: Statements and Correspondence, Trust Co. of North America, 1956]
 - **Box 77, f. 2** [Lehman, Robert: Statements, Commercial Bank of North America, 1957]
 - **Box 77, f. 3** [Lehman, Robert: Statements, Commercial Bank of North America, 1958]
 - **Box 77, f. 4** [Lehman, Robert: Statements, Commercial Bank of North America, 1959-1961]
 - **Box 77, f. 5** [Lehman, Robert: Statements and Correspondence, Commercial Bank of North America, 1962-1964]
 - **Box 77, f. 6** [Lehman, Robert: Statements, Bankers Trust Co., 1953]
 - **Box 77, f. 7** [Lehman, Robert: Statements, Bankers Trust Co., 1954]
 - **Box 77, f. 8** [Lehman, Robert: Statements, Bankers Trust Co., 1955]
 - **Box 77, f. 9** [Lehman, Robert: Statements, Bankers Trust Co., 1956]
 - **Box 77, f. 10** [Lehman, Robert: Statements, Bankers Trust Co., 1957]
 - **Box 77, f. 11** [Lehman, Robert: Statements, Bankers Trust Co., 1958]
 - **Box 77, f. 12** [Lehman, Robert: Statements, Bankers Trust Co., 1959]
 - **Box 77, f. 13** [Lehman, Robert: Statements, Bankers Trust Co., 1962]
 - **Box 77, f. 14** [Lehman, Robert: Statements: Correspondence: Cancelled Checks, Bankers Trust Co., 1963]
 - **Box 77, f. 15** [Lehman, Robert: Statements and Cancelled Checks, Bankers Trust Co., January-July 1964]
 - **Box 77, f. 16** [Lehman, Robert: Statements and Cancelled Checks, Bankers Trust Co., August 1964-February 1965]
 - **Box 78, f. 1** [Lehman, Robert: Check Register, First Natl. City Bank, November

- 11, 1964-January 8, 1965]
- **Box 78, f. 2** [Lehman, Robert: Check Register, First Natl. City Bank, January 14-March 8, 1965]
 - **Box 78, f. 3** [Lehman, Robert: Check Register, First Natl. City Bank, March 8-May 10, 1965]
 - **Box 78, f. 4** [Lehman, Robert: Check Register, First Natl. City Bank, May 10-June 15, 1965]
 - **Box 78, f. 5** [Lehman, Robert: Check Register, First Natl. City Bank, June 18-July 30, 1965]
 - **Box 78, f. 6** [Lehman, Robert: Check Register, First Natl. City Bank, July 30-September 17, 1965]
 - **Box 78, f. 7** [Lehman, Robert: Check Register, First Natl. City Bank, September 17-November 5, 1965]
 - **Box 78, f. 8** [Lehman, Robert: Check Register, First Natl. City Bank, November 5-December 14, 1965]
 - **Box 78, f. 9** [Lehman, Robert: Check Register, First Natl. City Bank, December 22, 1965-March 2, 1966]
 - **Box 79, f. 1** [Lehman, Robert: Check Register, First Natl. City Bank, March 2-May 13, 1966]
 - **Box 79, f. 2** [Lehman, Robert: Check Register, First Natl. City Bank, May 19-July 7, 1966]
 - **Box 79, f. 3** [Lehman, Robert: Check Register, First Natl. City Bank, July 7-August 19, 1966]
 - **Box 79, f. 4** [Lehman, Robert: Check Register, First Natl. City Bank, August 26-October 11, 1966]
 - **Box 79, f. 5** [Lehman, Robert: Check Register, First Natl. City Bank, October 11-November 28, 1966]
 - **Box 79, f. 6** [Lehman, Robert: Check Register, First Natl. City Bank, November 28, 1966-January 20, 1967]
 - **Box 79, f. 7** [Lehman, Robert: Check Register, First Natl. City Bank, January 20-March 10, 1967]
 - **Box 79, f. 8** [Lehman, Robert: Check Register, First Natl. City Bank, March 10-June 23, 1967]
 - **Box 80, f. 1** [Lehman, Robert: Check Register, First Natl. City Bank, May 5-June 20, 1967]
 - **Box 80, f. 2** [Lehman, Robert: Check Register, First Natl. City Bank, June 20-August 8, 1967]
 - **Box 80, f. 3** [Lehman, Robert: Check Register, First Natl. City Bank, August 8-September 20, 1967]
 - **Box 80, f. 4** [Lehman, Robert: Check Register, First Natl. City Bank, September 20-November 1, 1967]
 - **Box 80, f. 5** [Lehman, Robert: Check Register, First Natl. City Bank, November 1-December 20, 1967]
 - **Box 80, f. 6** [Lehman, Robert: Check Register, First Natl. City Bank, December 20, 1967-February 7, 1968]
 - **Box 80, f. 7** [Lehman, Robert: Check Register, First Natl. City Bank, February 7-April 12, 1968]
 - **Box 80, f. 8** [Lehman, Robert: Check Register, First Natl. City Bank, April 16-September 6, 1968]
 - **Box 81, f. 1** [Lehman, Robert: Check Register, First Natl. City Bank, September

- 6-October 30, 1968]
- **Box 81, f. 2** [Lehman, Robert: Check Register, First Natl. City Bank, October 30, 1968-January 3, 1969]
- **Box 81, f. 3** [Lehman, Robert: Check Register, First Natl. City Bank, December 12, 1968-April 30, 1969]
- **Box 81, f. 4** [Lehman, Robert: Check Register, First Natl. City Bank, January 8-March 5, 1969]
- **Box 81, f. 5** [Lehman, Robert: Check Register, First Natl. City Bank, April 30-July 11, 1969]
- **Box 81, f. 6** [Lehman, Robert: Check Register, First Natl. City Bank, July 11-August 9, 1969]
- **Box 81, f. 7** [Lehman, Robert: Check Register, Commercial Bank of N. America, October 29, 1959-April 5, 1960]
- **Box 81, f. 8** [Lehman, Robert: Check Register, Commercial Bank of N. America, April 5-July 29, 1960]
- **Box 81, f. 9** [Lehman, Robert: Check Register, Commercial Bank of N. America, July 29, 1960-Jan 30, 1961]
- **Box 82, f. 1** [Lehman, Robert: Check Register, Commercial Bank of N. America, January 31, 1961-February 4, 1964]
- **Box 82, f. 2** [Lehman, Robert: Check Register, unknown bank, June 1967-August 1969]
- **I.1.5 Memorabilia, 1894-1950**
 - **Box 83** Lehman memorabilia: Philip Lehman's 1925 medallion, 2 recording discs, circa 1950
 - **Box 719, f. 7** Journal of The Dawson Salmon Fishings, 1894-1924
 - **Box 719, f. 8** Robert Lehman Memo Book, blank
 - **Box 719, f. 9** Robert Lehman Money Holders
- **I.1.6 Desk Calendars, Address Books, and Notes, 1933-1969**
 - **Box 721, f. 1** Robert Lehman Desk Calendar, 1933
 - **Box 721, f. 2** Robert Lehman Desk Calendar, 1934
 - **Box 721, f. 3** Robert Lehman Desk Calendar, 1935
 - **Box 721, f. 4** Robert Lehman Desk Calendar, 1937
 - **Box 722, f. 1** Robert Lehman Desk Calendar, 1941
 - **Box 722, f. 2** Robert Lehman Desk Calendar, 1942
 - **Box 722, f. 3** Robert Lehman Desk Calendar, 1943
 - **Box 722, f. 4** Robert Lehman Desk Calendar, 1944
 - **Box 723, f. 1** Robert Lehman Desk Calendar, 1945
 - **Box 723, f. 2** Robert Lehman Desk Calendar, 1946
 - **Box 723, f. 3** Robert Lehman Desk Calendar, 1947
 - **Box 723, f. 4** Robert Lehman Desk Calendar, 1948
 - **Box 724, f. 1** Robert Lehman Desk Calendar, 1949
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 - **Box 724, f. 3** Robert Lehman Desk Calendar, 1951
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- **Subseries I.2 Kahn family records, 1892-1975**

Scope and Content: The records in this subseries document the personal finances of the family of Otto H. Kahn (1867-1934) and Addie Wolff Kahn (1876-1949.) Mrs. Kahn was the daughter of Abraham Wolff, an early partner in Kuhn, Loeb & Company. She was a patron of the arts, particularly music, and active in many philanthropic organizations and clubs. Otto H. Kahn, her husband, was born in Germany and lived in England before coming to the United States. He became a senior partner in Kuhn, Loeb & Company and was both an influential banker and a renowned patron of the arts, particularly New York's Metropolitan Opera Company. Otto and Addie Kahn had four children: Maud E. Kahn (Lady Marriott), Margaret D. Kahn (Mrs. John Barry Ryan), Gilbert W. Kahn and Roger W. Kahn.

Maud E. Kahn (1897-1960) married Major General Sir John Marriott of England, thus becoming Lady Marriott. She served three years of war service in France and England. The Marriotts had one child. Margaret D. Kahn Ryan (1901-1995), married John Barry Ryan, Jr. in 1928; she was a benefactor of the Metropolitan Opera as well as an art collector. The Ryans had two children.

Gilbert W. Kahn (1903-1975) became a partner in Kuhn, Loeb & Company in 1930 and remained active in investment banking for most of his life. Gilbert Kahn also pursued interests in French vineyards and continued his father's philanthropic activities and involvement as patron of art and music. He was married to Polly Stover and had two children. Roger W. Kahn (1907-1962) was a jazz musician and aviation enthusiast. Roger Kahn worked as a test pilot for Grumman Aircraft Engineering Corporation and as a vice president of the Institute of Aeronautical Sciences; he also played in jazz ensembles from the age of 15 onwards. He married twice and had two children from his marriage to Edith Nelson.

The records in this subseries document the personal finances of Addie Wolff Kahn, her four children, and their spouses and children. They were created and maintained at Kuhn, Loeb & Company. The records contain information regarding the personal, trust and foundation accounts of Addie Wolff Kahn and her children. There are investment statements, stock purchase and sales receipts, tax documents, travel records, estate records of Otto and Addie Kahn, correspondence, and donation and gift records. There is also correspondence related to Addie Wolff Kahn's Mogmar Art Foundation, which was housed at the Kahn home at 1100 Fifth Avenue in New York, and an assortment of memorabilia and personal date books from Gilbert W. Kahn.

Correspondence is arranged chronologically and trust documents have been maintained in their original order.

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- **Box 86, f. 1** [Kahn, Addie W. (Mrs. Otto H.): [Automobiles,] [1941]
- **Box 86, f. 2** [Kahn, Addie W. (Mrs. Otto H.): [Library Appraisal,] [1941]
- **Box 86, f. 3** [Kahn and Ryan]: [Jewelry Appraisal,] [1946]
- **Box 86, f. 4** Ryan, Margaret: Jewelry, [1947]
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- **Box 86, f. 7** Kahn, Roger W. [Wolfe,] 1948
- **Box 86, f. 8** Marriott, Maud: Marriott Inc. & New York Trust, 1948
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- **Box 99, f. 10** Kahn Family: Miscellaneous, 1954-1956, 1965
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- **Box 103, f. 11** [Kahn, Gilbert W.]: Bank Accounts, [March-July 1958]
- **Box 103, f. 12** [Kahn, Gilbert W.]: Charities, 1957
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- **Box 104, f. 1** [Kahn, Gilbert W.]: Compagnons Du Bontemps, 1956-1957
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- **Box 105, f. 1** [Kahn, Gilbert W.]: J-L Miscellaneous, 1957
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- **Box 105, f. 3-6** [Kahn, Gilbert W.]: Jarrell-Ash Co., 1952-1957
- **Box 105, f. 6** [Kahn, Gilbert W.]: Kuhn, Loeb & Co.: Investment Reports, 1957
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- **Box 107, f. 6** [Kahn, Gilbert W.]: Travel]: France: Villa Hou'zée, [1959]
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 - **Box 110, f. 4** Wolff, Abraham-Declaration of Trust and Modification of Trust, [1897, 1935]
 - **Box 110, f. 5** Wolff, Abraham: Resignation and Designations of Trustees under the Last Will and Testament..., 1926
 - **Box 110, f. 6** Wolff, Abraham: [Trust Agreement,] 1904-1942
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- **I.2.3 Memorabilia, 1950-1975**
 - **Box 112** Gilbert W. Kahn date books: 1958-1975

- **Box 113** Gilbert W. Kahn memorabilia: contains a flask, Palm Springs address book, France address book, 3 wallets, Cartier locket with photograph, money clip, 2 Turf and Field Club pins, 4 writing pens
- **Box 541, f. 16** Gilbert W. Kahn Wine Cellar Inventory, May 1950
- **I.2.4 Bank statements, check registers and cancelled checks, 1964-1975**
 - **Box 114, f. 1** [Kahn, Gilbert W.: Check Register Pages, unknown bank, 1967-1971]
 - **Box 114, f. 2** [Kahn, Gilbert W.: Check Registers, Security First Natl. Bank, 3/14/1964-4/21/1965]
 - **Box 114, f. 3** [Kahn, Gilbert W.: Check Registers, Security First Natl. Bank, 4/21/1965-10/11/1966]
 - **Box 114, f. 4** [Kahn, Gilbert W.: Check Registers, Security First Natl. Bank, 10/13/1966-12/26/1967]
 - **Box 114, f. 5** [Kahn, Gilbert W.: Check Registers, Security First Natl. Bank, 12/26/1967-1/7/1969]
 - **Box 114, f. 6** [Kahn, Gilbert W.: Check Registers, Security First Natl. Bank, 1/7/1969-8/7/1969]
 - **Box 114, f. 7** [Kahn, Gilbert W.: Check Registers, Security First Natl. Bank, 8/13/1969-4/25/1970]
 - **Box 114, f. 8** [Kahn, Gilbert W.: Check Registers, Security First Natl. Bank, 4/25/1970-4/5/1971]
 - **Box 115, f. 1** [Kahn, Gilbert W.: Check Registers, Security Pacific Natl. Bank, 4/5/1971-4/6/1972]
 - **Box 115, f. 2** [Kahn, Gilbert W.: Check Registers, Security Pacific Natl. Bank, 4/6/1972-2/22/1973]
 - **Box 115, f. 3** [Kahn, Gilbert W.: Check Registers, Security Pacific Natl. Bank, 2/22/1973-1/11/1974]
 - **Box 115, f. 4** [Kahn, Gilbert W.: Check Registers, Security Pacific Natl. Bank, 1/11/1974-7/16/1974]
 - **Box 115, f. 5** [Kahn, Gilbert W.: Check Registers, Security Pacific Natl. Bank, 7/16/1974-5/2/1975]
 - **Box 115, f. 6** [Kahn, Gilbert W.: Check Registers, Security Pacific Natl. Bank, 5/2/1975-12/15/1975]
 - **Box 116, f. 1** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 2/16/1968-7/29/1968]
 - **Box 116, f. 2** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 7/30/1968-10/30/1968]
 - **Box 116, f. 3** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 10/31/1968-1/15/1970]
 - **Box 116, f. 4** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 1/15/1970-6/25/1970]
 - **Box 116, f. 5** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 6/25/1970-10/20/1970]
 - **Box 116, f. 6** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 10/20/1970-12/22/1970]
 - **Box 116, f. 7** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 12/23/1970-5/20/1971]
 - **Box 117, f. 1** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 5/24/1971-8/12/1971]
 - **Box 117, f. 2** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank,

- 8/19/1971-12/7/1971]
- **Box 117, f. 3** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 12/7/1971-4/12/1972]
- **Box 117, f. 4** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 4/13/1972-8/1/1972]
- **Box 117, f. 5** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 8/1/1972-11/2/1972]
- **Box 117, f. 6** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 11/2/1972-3/20/1973]
- **Box 117, f. 7** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 3/21/1973-8/1/1973]
- **Box 118, f. 1** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 8/1/1973-11/28/1973]
- **Box 118, f. 2** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 11/29/1973-4/8/1974]
- **Box 118, f. 3** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 4/8/1974-9/4/1974]
- **Box 118, f. 4** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 9/4/1974-12/9/1974]
- **Box 118, f. 5** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 12/10/1974-6/11/1975]
- **Box 118, f. 6** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 6/11/1975-10/14/1975]
- **Box 118, f. 7** [Kahn, Gilbert W.: Check Registers, First Natl. City Bank, 10/14/1975-12/15/1975]
- **Box 119, f. 1** [Kahn, Gilbert W.: Check Register, Chemical Bank & Trust, 7/20/1967-1/15/1969]
- **Box 119, f. 2** [Kahn, Gilbert W.: Check Register, Bank of America, 4/7/1967-11/22/1971]
- **I.2.5 Tax returns and exhibits, circa 1935-1954**
 - **Box 120, f. 1-4** Kahn, Otto H. (Estate of): New York Estate Tax Return and Exhibition, [c1935]
 - **Box 120, f. 5-10** Kahn, Otto H. (Estate of): Federal Estate Tax Return and Exhibits, [c1936-1937]
 - **Box 120, f. 11** Wolff, Abraham (Estate of): [Roger W. Kahn and Gilbert W. Kahn Trusts,] 1950-1954
- **I.2.6 Bound financial records, 1909-1955**
 - **v. 121** Lyric Realty Co. of Baltimore City: Stock certificate book, 1909
 - **v. 122** Lyric Realty Company: Cash book 1910-1922
 - **v. 123** Lyric Realty Company: Journal, 1910-1922
 - **v. 124** Lyric Realty Company: Ledger, 1910-1922
 - **v. 125** Lyric Realty Company: Letterbook, 1920-1927
 - **v. 126** New York Theatre Français, Inc.: Stock certificate book, 1920
 - **v. 127** Oheka Corporation: Cash book, 1920-1925
 - **v. 128** Oheka Corporation: Journal, 1920-1925
 - **v. 129** Oheka Corporation: Ledger, 1920-1925
 - **v. 130** Oheka Corporation: Cash book and journal, 1926-1940
 - **v. 131** A. Wolff et. al. (H. P. W. van H. Trust): Ledger, c. 1920-1955
 - **v. 132** Wilpin Corporation: Cash book and ledger, 1921-1943
 - **v. 133** Ramgom Realty, Inc.: Ledger, 1925-1932

- v. 134 Mogmar Realty, Inc.: Ledger, 1926-1937
 - v. 135 Gallahad Corporation: Stock book and ledger, 1927
 - v. 136 Gallahad Corporation: Stock certificate book, 1927-1932
 - v. 137 Gallahad Corporation: Ledger, 1927-1937
 - v. 138 Gallahad Corporation: Journal, 1927-1937
 - v. 139 Little Cinema Theatres, Inc.: Stock certificate book, 1928
 - v. 140 Bedford Grove Corporation: Stock certificate book, 1928
 - v. 141 Bedford Grove Corporation: Ledger, 1928-1937
 - v. 142 Bedford Grove Corporation: Cash book and journal, 1928-1935
 - v. 143 Bedford Grove Corporation: Journal, 1928-1937
 - v. 144 Triangle Company, Ltd.: Cash book and journal, 1931-1939
 - v. 145 Hands Creek Corp.: Stock certificate book, 1932
 - v. 146 Lion Head Corporation: Stock certificate book, 1932
 - v. 147 Lone Hill Corp.: Stock ledger and transfer record, 1932
 - v. 148 Lone Hill Corp.: Stock certificate book, 1932
 - v. 149 Kahn, Gilbert W.: Investment Account Statements Ledger, 1936-1949
 - v. 150 Kahn, Gilbert W.: cash book 1939-1945
 - v. 151 Kahn, Gilbert W.: Cash book, 1946-1951
 - v. 152 Kahn, Gilbert W.: Ledger, c. 1950s
 - v. 153 Kahn, Roger W.: Cash book, 1939-1944
 - v. 154 Kahn, Roger W.: Journal, 1944-1951
- o **Subseries I.3 John M. Schiff records, 1898-1977**

Scope and Content: John M. Schiff (1904-1987), son of Mortimer L. and Adele Neustadt Schiff, was an investment banker and philanthropist. He began his banking career in 1927 and spent most of his career at Kuhn, Loeb & Company, the firm co-founded by his grandfather Jacob's father-in-law, Solomon Loeb. He was the last senior partner of the firm when it merged with Lehman Brothers in 1977. Schiff was named honorary chairman of the merged firm, Lehman Brothers, Kuhn, Loeb.

Schiff was an avid horseman who bred thoroughbreds in Kentucky and Florida and owned a racing stable at Belmont Park. He served in the Navy during World War II. He also served as president of the Boy Scouts of America, an organization he supported throughout his life. He was married twice and had two children with his first wife, Edith Brevoort Baker Schiff.

This subseries contains John M. Schiff's personal and professional correspondence, managed for him by staff at Kuhn, Loeb & Company. The records contain extensive documentation of Schiff's personal investments and ventures, his foundation and other charitable efforts, and his real estate holdings in New York City and Oyster Bay, Long Island. Included are records of Schiff's activity as a board member and officer of the Boy Scouts of America, as well as his role as member of numerous other corporate and charitable boards, including that of the New York Public Library.

The Schiff Foundation records contain correspondence from individuals and organizations requesting assistance, financial statements, and specific grant and contribution information.

Correspondence is arranged alphabetically, as are trust documents for members of the Schiff family. Records of The Schiff Foundation are arranged alphabetically by year.

- **I.3.1 Correspondence and trust documents, 1899-1977**
 - **Box 155, f. 1** 51st Street Associates, 1955
 - **Box 155, f. 2** 51st Street Associates, 1956
 - **Box 155, f. 3** 214-216 E. 74th Street- N.Y., N.Y. 10021, 1961
 - **Box 155, f. 4** 214-216 E. 74th Street, N.Y., N.Y. 10021, 1962

- **Box 155, f. 5** 214-216 E. 74th Street, N.Y., N.Y. 10021, 1963
- **Box 155, f. 6** 214-216 E. 74th Street, N.Y., N.Y. 10021, 1964
- **Box 155, f. 7** 214-216 E. 74th Street, N.Y., N.Y. 10021, 1965
- **Box 155, f. 8** 214-216 E. 74th Street, N.Y., N.Y. 10021, 1966
- **Box 155, f. 9** 214-216 E. 74th Street, N.Y., N.Y. 10021, 1967
- **Box 155, f. 10** 214-216 E. 74th Street, N.Y., N.Y. 10021, 1968
- **Box 155, f. 11** 214-216 E. 74th Street, N.Y., N.Y. 10021, 1969
- **Box 155, f. 12-13** 214-216 E. 74th Street, N.Y., N.Y. 10021, 1970
- **Box 155, f. 14** 214-216 E. 74th Street, N.Y., N.Y. 10021, 1971
- **Box 156, f. 1** 214-216 E. 74th Street, N.Y., N.Y. 10021, 1972
- **Box 156, f. 2** 214-216 E. 74th Street, N.Y., N.Y. 10021, 1973
- **Box 156, f. 3** 214-216 E. 74th Street, N.Y., N.Y. 10021, 1974
- **Box 156, f. 4** 214-216 E. 74th Street, N.Y., N.Y. 10021, 1974
- **Box 156, f. 5-6** 214-216 E. 74th Street, N.Y., N.Y. 10021, 1975
- **Box 156, f. 7** 214-216 E. 74th Street, N.Y., N.Y. 10021, 1976
- **Box 156, f. 8** 450 E. 52nd Street, 1970
- **Box 156, f. 9** 812 Park Avenue, 1953
- **Box 156, f. 10** 912 5th Avenue N.Y., N.Y., 1955-1964
- **Box 156, f. 11** 912 5th Avenue N.Y., N.Y., 1966-1967
- **Box 156, f. 12** 912 5th Avenue N.Y., N.Y., 1967-1969
- **Box 156, f. 13-14** 912 5th Avenue N.Y., N.Y., 1969
- **Box 156, f. 15** 1040 5th Avenue, 1956-1960
- **Box 157, f. 1** Aiken, South Carolina, [1956-1959]
- **Box 157, f. 2** Aiken, South Carolina, [1960-1962]
- **Box 157, f. 3** Aiken, South Carolina: Aiken Race Track, 1953
- **Box 157, f. 4-5** Aiken, South Carolina: Bills, [1960-1961]
- **Box 157, f. 6** Aiken, South Carolina: Hitchcock Foundation, [1955-1960]
- **Box 157, f. 7** Aiken, South Carolina: Hitchcock Foundation, [1961-1962]
- **Box 157, f. 8** Aiken, South Carolina: Hitchcock Foundation, [1963-1965]
- **Box 157, f. 9** Aiken, South Carolina: Hitchcock Foundation, [1966-1967]
- **Box 157, f. 10** Aiken, South Carolina: Real Estate, [1950-1962]
- **Box 158, f. 1-2** Air Facilities Corporation, 1947
- **Box 158, f. 3** Air Facilities Corporation, 1949
- **Box 158, f. 4** Air Temp, 1947
- **Box 158, f. 5-6** Allied Control Co. Inc., 1949
- **Box 158, f. 7-8** Allied Control Co. Inc., 1951
- **Box 158, f. 9-10** Allied Control Co. Inc., 1952
- **Box 158, f. 11** Allied Control Co. Inc., 1953
- **Box 158, f. 12** Allied Control Co. Inc., 1955
- **Box 158, f. 13** Allied Control Co. Inc., 1955
- **Box 158, f. 14-15** Allied Control Co. Inc., 1956
- **Box 159, f. 1-2** American and Canadian Syndicate, 1955
- **Box 159, f. 3** American and Canadian Syndicate, [January 1956-June 1956]
- **Box 159, f. 4** American and Canadian Syndicate, [July 1956-September 1956]
- **Box 159, f. 5** American and Canadian Syndicate, [October 1956-December 1956]
- **Box 159, f. 6** A Miscellaneous (Correspondence), 1949
- **Box 159, f. 7** A Miscellaneous (Correspondence), 1950-1951
- **Box 159, f. 8** A Miscellaneous (Correspondence), 1952
- **Box 159, f. 9** A Miscellaneous (Correspondence), 1953-1955

- **Box 159, f. 10** A Miscellaneous (Correspondence), 1956-1960
- **Box 159, f. 11** A Miscellaneous (Correspondence), 1961-1963
- **Box 159, f. 12** A Miscellaneous (Correspondence), 1964-1971
- **Box 160, f. 1** Backer, Sarah Ann, 1955-1956
- **Box 160, f. 2** Bayham, David, 1940-1942
- **Box 160, f. 3** Bayham, David, 1943
- **Box 160, f. 4** Bayham, David, 1944-1945
- **Box 160, f. 5-7** Biegun, Dr. Dov, 1962-1969
- **Box 160, f. 8-15** Biegun, Dr. Dov: Rome Hotel, July 1962-October 1968
- **Box 161, f. 1** Bernus Watch Company, 1962
- **Box 161, f. 2** Bowery Savings Bank, 1947-1949
- **Box 161, f. 3-5** Bowery Savings Bank, 1951
- **Box 161, f. 6-7** Bowery Savings Bank, 1952
- **Box 161, f. 8** Bowery Savings Bank, 1953
- **Box 161, f. 9-11** Boy Scouts, 1949
- **Box 162, f. 1-9** Boy Scouts, 1951
- **Box 162, f. 10-12** Boy Scouts, 1951
- **Box 163, f. 1-5** Boy Scouts, 1952
- **Box 163, f. 6-7** Boy Scouts, 1953
- **Box 163, f. 8** Boy Scouts, 1954
- **Box 163, f. 9** Boy Scouts, 1955
- **Box 163, f. 10** Boy Scouts, 1955
- **Box 163, f. 11** Boy Scouts, 1956
- **Box 163, f. 12** Boy Scouts, 1960
- **Box 164, f. 1-2** Boy Scouts, 1960
- **Box 164, f. 3-5** Boy Scouts, 1962
- **Box 164, f. 6** Boy Scouts, 1963
- **Box 164, f. 7-9** Boy Scouts, 1967
- **Box 164, f. 10** Boy Scouts, 1969
- **Box 164, f. 11-13** Boy Scouts: Congratulatory Correspondence, 1951
- **Box 165, f. 1** Boy Scouts: International Bureau, 1955
- **Box 165, f. 2-5** Boy Scouts: International Bureau, 1956
- **Box 165, f. 6-8** Boy Scouts: International Bureau, 1960
- **Box 409, f. 4** [Schiff, John M.]: Boy Scouts International Bureau: Certificate, 1960
- **Box 165, f. 10** Boy Scouts: Mortimer Schiff Scout Reservation: "The Story of Schiff", 1948
- **Box 166, f. 1** Boy Scouts: Nassau County, 1949
- **Box 166, f. 2** Boy Scouts: Nassau County, 1951
- **Box 166, f. 3** Boy Scouts: Nassau County, 1952
- **Box 166, f. 4-6** Boy Scouts: Nassau County, 1955
- **Box 166, f. 7-10** Boy Scouts: Nassau County, 1956
- **Box 166, f. 11** Boy Scouts: Nassau County, 1960-1963
- **Box 167, f. 1-2** Boy Scouts: Region 2, 1949
- **Box 167, f. 3-4** Boy Scouts: Region 2, 1951
- **Box 167, f. 5** Boy Scouts: Region 2: "... Birthright" (brochure), 1949
- **Box 167, f. 6-7** Boy Scouts: United States Foundation for International Scouting, 1969
- **Box 167, f. 8** Boy Scouts: World Bureau, 1961-1962
- **Box 167, f. 9** Boy Scouts: World Bureau, 1962

- **Box 167, f. 10** Boy Scouts: World Bureau, 1962
- **Box 167, f. 11-12** Boy Scouts: World Bureau, 1963
- **Box 168, f. 1-2** Boy Scouts: World Bureau, 1963
- **Box 168, f. 3-4** Boy Scouts: World Bureau, 1967
- **Box 168, f. 5** Boy Scouts: World Bureau, 1969
- **Box 168, f. 6** Boy Scouts: World Bureau: Finance Committee, 1967
- **Box 168, f. 7** Boy Scouts: World Bureau: Seattle, August 11-13, 1967
- **Box 168, f. 8** Bittenweiser Accounts & Trust, 1970-1971
- **Box 168, f. 9** Bittenweiser, Helen, [1962,] 1970-1971
- **Box 168, f. 10** Bittenweiser, Peter L., [1962,] 1970-1971
- **Box 169, f. 1-2** B Miscellaneous (Correspondence), 1949
- **Box 169, f. 3-5** B Miscellaneous (Correspondence), 1951
- **Box 169, f. 6-9** B Miscellaneous (Correspondence), 1952
- **Box 169, f. 10** B Miscellaneous (Correspondence), 1953
- **Box 169, f. 11** B Miscellaneous (Correspondence), 1955-1956
- **Box 169, f. 12** B Miscellaneous (Correspondence), 1959-1961
- **Box 169, f. 13** B Miscellaneous (Correspondence), 1962
- **Box 170, f. 1** B Miscellaneous (Correspondence), 1963-1967, 1969-1971
- **Box 170, f. 2** Cadon, [1960]
- **Box 170, f. 3-6** Canadian Syndicate (Frank McCabe Venture), 1955
- **Box 170, f. 7** Carol Bittenweiser Loeb Foundation: Chase Manhattan Bank, [1962, 1963]
- **Box 170, f. 8** Carol Bittenweiser Loeb Foundation: Chase Manhattan Bank, [1970]
- **Box 170, f. 9** Carol Bittenweiser Loeb Foundation: Chase Manhattan Bank, [1971]
- **Box 170, f. 10** Carol Bittenweiser Loeb Foundation: Kuhn, Loeb, & Co., 1962
- **Box 170, f. 11-13** Carol Bittenweiser Loeb Foundation: Miscellaneous, 1962
- **Box 171, f. 1-8** Carol Bittenweiser Loeb Foundation: Miscellaneous, 1970
- **Box 171, f. 9-15** Carol Bittenweiser Loeb Foundation: Miscellaneous, 1971
- **Box 172, f. 1-3** Carolina Ford Tractor Company, 1949-1951
- **Box 172, f. 4** Chemical Bank and Trust Company, 1949
- **Box 172, f. 5** Chemical Bank and Trust Company, 1950-1952
- **Box 172, f. 6** Chemical Bank New York Trust Company, 1960-1962
- **Box 172, f. 7** Chemical Bank New York Trust Company, 1963
- **Box 172, f. 8** Chemical Bank New York Trust Company, [1967-1969]
- **Box 172, f. 9** Chemical Corn Exchange Bank, 1955-1956
- **Box 172, f. 10-11** Chock Full O Nuts Corp., 1970-1971
- **Box 172, f. 12** Christiana Oil Company, 1952
- **Box 172, f. 13** Christiana Oil Company, 1952-1953
- **Box 172, f. 14** Chris-Craft Industries, Inc., 1962
- **Box 173, f. 1** Christmas Greetings, 1952, 1958
- **Box 173, f. 2** Christmas Greetings, 1959-1960
- **Box 173, f. 3** C.I.T. Financial Corporation, 1949
- **Box 173, f. 4** C.I.T. Financial Corporation, 1950-1951
- **Box 173, f. 5-6** C.I.T. Financial Corporation, 1951
- **Box 173, f. 7** C.I.T. Financial Corporation, 1952
- **Box 173, f. 8-9** C.I.T. Financial Corporation, 1953
- **Box 173, f. 10-11** C.I.T. Financial Corporation, 1956
- **Box 173, f. 12** C.I.T. Financial Corporation, 1960

- **Box 173, f. 13** C.I.T. Financial Corporation, 1962
- **Box 173, f. 14** C.I.T. Financial Corporation, 1963-1969
- **Box 174, f. 1** Claiborne Farm, 1950-1953
- **Box 174, f. 2** Claiborne Farm, 1954-1955
- **Box 174, f. 3** Club: Dues, 1959
- **Box 174, f. 4** Club: Dues, 1960
- **Box 174, f. 5** Columbia University, 1962
- **Box 174, f. 6-8** Columbia University, 1971
- **Box 174, f. 9-11** Columbia University: Advisory Committee on Investments (Finance Committee), 1970
- **Box 174, f. 12** Committee of Economic Development, 1967
- **Box 174, f. 13** Continental Oil Company, 1955-1960
- **Box 174, f. 14** Coppe, Albert, 1969
- **Box 174, f. 15** Coral Joint Venture, 1954-1960
- **Box 174, f. 16** Coral Joint Venture, 1961-1962
- **Box 174, f. 17** Council on Library Resources Inc., 1956
- **Box 175, f. 1-3** C Miscellaneous (Correspondence), 1949
- **Box 175, f. 4-6** C Miscellaneous (Correspondence), 1951
- **Box 175, f. 7-8** C Miscellaneous (Correspondence), 1952
- **Box 175, f. 9** C Miscellaneous (Correspondence), 1953
- **Box 175, f. 10** C Miscellaneous (Correspondence), 1955
- **Box 175, f. 11** C Miscellaneous (Correspondence), 1956
- **Box 175, f. 12** C Miscellaneous (Correspondence), 1956-1960
- **Box 175, f. 13** C Miscellaneous (Correspondence), 1962
- **Box 175, f. 14** C Miscellaneous (Correspondence), 1963
- **Box 176, f. 1** C Miscellaneous (Correspondence), 1964-1971
- **Box 176, f. 2** Democratic Party, 1962
- **Box 176, f. 3-4** Democratic Party, 1970
- **Box 176, f. 5** Democratic Party, 1971
- **Box 176, f. 6** Doris Duke Foundation, Inc., 1960-1962
- **Box 176, f. 7** Doris Duke Foundation, Inc., 1963
- **Box 176, f. 8** Downtown: Lower Manhattan Association Inc., 1969
- **Box 176, f. 9** Dubassoff, Oleg T., 1944-1947
- **Box 176, f. 10** Dubassoff, Oleg T., 1948-1950
- **Box 176, f. 11** Dubassoff, Oleg T., 1951-1953
- **Box 176, f. 12** Dubassoff, Oleg T., 1954
- **Box 176, f. 13** Dubassoff, Oleg T., 1955
- **Box 176, f. 14** Duke Foundation, 1963
- **Box 176, f. 15** D Miscellaneous (Correspondence), 1949-1951
- **Box 176, f. 16** D Miscellaneous (Correspondence), 1952-1956
- **Box 176, f. 17** D Miscellaneous (Correspondence), 1959-1963, 1967-1971
- **Box 177, f. 1** Economics Club of New York, 1950-1951
- **Box 177, f. 2** Economics Club of New York, 1955-1963, 1969
- **Box 177, f. 3** Enfield, Robert, 1960
- **Box 177, f. 4** Events: Guest Lists, 1958
- **Box 177, f. 5** E Miscellaneous (Correspondence), 1949
- **Box 177, f. 6** E Miscellaneous (Correspondence), 1951
- **Box 177, f. 7** E Miscellaneous (Correspondence), 1951-1952
- **Box 177, f. 8** E Miscellaneous (Correspondence), 1952
- **Box 177, f. 9** E Miscellaneous (Correspondence), 1953-1959

- **Box 177, f. 10** E Miscellaneous (Correspondence), 1960-1971
- **Box 177, f. 11** F.A. Callery Inc., 1954-1962
- **Box 177, f. 12** Fay, Charles W., 1953-1955
- **Box 177, f. 13** Federation of Jewish Philanthropies, 1970
- **Box 177, f. 14** Federation of Jewish Philanthropies, 1971
- **Box 177, f. 15** Fisk University, 1962
- **Box 177, f. 16-17** Fisk University, 1970
- **Box 177, f. 18** Fisk University, 1971
- **Box 177, f. 19** Fisk University, 1971 [concerning Georgia O'Keefe]
- **Box 178, f. 1** Ford Foundation, 1956
- **Box 178, f. 2** Foreign Policy Association, 1962
- **Box 178, f. 3** Frozen Food Fare Inc., 1946-1948
- **Box 178, f. 4** Frozen Food Fare Inc., 1949
- **Box 178, f. 5** Frozen Food Fare Inc., 1950
- **Box 178, f. 6** Frozen Food Fare Inc., 1951-1953
- **Box 178, f. 7** F Miscellaneous (Correspondence), 1949
- **Box 178, f. 8-9** F Miscellaneous (Correspondence), 1951
- **Box 178, f. 10** F Miscellaneous (Correspondence), 1952-1956
- **Box 178, f. 11** F Miscellaneous (Correspondence), 1960-1968, 1970-1971
- **Box 178, f. 12** Garage: Property Maintenance: Receipts, 1959-1960
- **Box 179, f. 1-2** Getty Oil Company, 1967
- **Box 179, f. 3** Getty Oil Company, 1969
- **Box 179, f. 4** Gray, Arthur and Adele: Unemployment Insurance: F.I.C.A., 1952
- **Box 179, f. 5-7** Great Atlantic & Pacific Tea Company, 1963
- **Box 179, f. 8** Great Atlantic & Pacific Tea Company, 1967
- **Box 179, f. 9** Great Atlantic & Pacific Tea Company, 1969
- **Box 179, f. 10-14** Greater New York Association Inc., 1955
- **Box 180, f. 1-4** Greater New York Association Inc., 1956
- **Box 180, f. 5** Greggton Oil Corp., 1947
- **Box 180, f. 6** Greggton Oil Corp., 1956
- **Box 180, f. 7** G Miscellaneous (Correspondence), 1947
- **Box 180, f. 8** G Miscellaneous (Correspondence), 1949
- **Box 180, f. 9** G Miscellaneous (Correspondence), 1951
- **Box 180, f. 10** G Miscellaneous (Correspondence), 1952
- **Box 180, f. 11** G Miscellaneous (Correspondence), 1953-1962
- **Box 180, f. 12** G Miscellaneous (Correspondence), 1963-1971
- **Box 181, f. 1** Hallgarten & Co., 1960
- **Box 181, f. 2** Heath vs. Stralem, 1937
- **Box 181, f. 3** Helis Oil Venture, 1952
- **Box 181, f. 4-10** Helis Oil Venture: Agreements, 1951-1952
- **Box 181, f. 11** Helis Petroleum Corp., 1953-1969
- **Box 182, f. 1** Hempstead Bank, 1956
- **Box 182, f. 2-3** Hunting Stable, 1960
- **Box 182, f. 4** Hunting Stable, 1962
- **Box 182, f. 5** Hunting Stable, 1963
- **Box 182, f. 6** Hunting Stable, 1964
- **Box 182, f. 7** Hunting Stable, 1965
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- o **Subseries I.4 Warburg family records, 1899-1971**

Scope and Content: This subseries contains records from the family of Felix M. Warburg (1871-1937) and his wife, Frieda Schiff Warburg (1876-1958). Felix M. Warburg, a senior partner of Kuhn, Loeb & Company, was perhaps best known for his humanitarian and philanthropic endeavors, particularly concerning American-Jewish issues. He was born into a banking family in Hamburg, Germany and came to the United States at the age of 23 to marry Frieda Schiff, whom he had met the previous year. Felix joined Kuhn, Loeb & Company in 1897 and worked for the firm throughout his life. He supported countless endeavors in education, music and art, immigrant aid and social work, and he was instrumental in the establishment of the American Jewish Joint Distribution Committee in 1914.

Frieda Schiff Warburg was the daughter of Kuhn, Loeb & Company founder Jacob Schiff and Therese Loeb. She married Felix M. Warburg in New York City in 1895 and quickly became active in philanthropic and cultural endeavors in the city. She was particularly active with Jewish charities, serving on the boards of the Jewish Welfare Board and the American Jewish Joint Distribution Committee.

The Warburgs' home in New York was later donated to become the Jewish Museum of New York, and their "Woodlands" estate in Westchester County, New York, was deeded to the town of Greenburgh. The Warburgs had five children: Carola Warburg (Mrs. Walter N. Rothschild), Frederick M. Warburg, Gerald F. Warburg, Paul F. Warburg, and Edward M. M. Warburg.

Carola Warburg Rothschild (1896-1987) was born in Manhattan and married Walter N. Rothschild. She was a leader in many civic and charitable organizations, including the Girl Scouts of America, the Neurological Institute, the Planned Parenthood Association, the United World Colleges, and the Federation of Jewish Philanthropies.

Frederick M. Warburg (1897-1973) was also born in Manhattan. He graduated from Harvard College in 1919 and spent several years in Poland before joining Kuhn, Loeb & Company in 1922. He remained with that firm for the rest of his life, with the exception of a span of work for Lehman Brothers, Inc. from 1927 to 1930. He was known as a shrewd banker, and became a Kuhn, Loeb & Company partner in 1931. Frederick served during World War II as chief of athletics and recreation for the Army Special Services. Following family tradition, he was actively involved in a wide range of cultural and philanthropic organizations. He was a director of the Greater New York Council of the Boy Scouts of America and an officer of the Fresh Air Fund, the New York Foundation, and the Federation of Jewish Philanthropies. Frederick and his wife Wilma owned homes in Manhattan and Cos Cob, Connecticut, as well as a horse and cattle farm, Snake Hill, near Middleburg, Virginia.

Gerald F. Warburg (1902-1971) graduated from Harvard College in 1923 and went on to study music in Vienna and Paris. He was a cellist and a conductor, and founded the Stradivarius Quartet with his father in 1930. During his career, he appeared with many

symphony orchestras, gave talks and lecture demonstrations, advised cultural institutions and wrote about harmonic theory. He married twice and had four children.

Paul F. Warburg (1904-1965) was a philanthropist, a financier, and a prominent member of the Republican Party. He served in the Army during World War II, in Casablanca and in Paris. He was decorated with the Croix de Guerre and awarded by the Legion of Honor. He served at the American Embassy in London from 1946 to 1950. Paul F. Warburg worked for several financial firms, including International Acceptance Trust Company, Bank of Manhattan Company, J.S. Bache & Co. and Loeb, Rhoades & Co. He was married three times and had two children.

Edward M. M. Warburg (1908-1992) was born in White Plains, New York. He graduated from Harvard College in 1930. While at Harvard, he co-founded the Harvard Society for Contemporary Art, a group that played a pioneering role in bringing modern art to the public through its groundbreaking exhibitions. He briefly taught at Bryn Mawr College upon graduation, before returning to New York City, where he co-founded the American Ballet with Lincoln Kirstein. Edward was an avid and prescient art collector; many of his purchases were eventually donated to the Museum of Modern Art, of which he was a co-founder and longtime trustee. He served in the Army during World War II and was active in many philanthropic organizations throughout his life. He was married to Mary Whelan Prue Currier and they had two children.

The subseries consists largely of personal correspondence and financial records of members of the Warburg family. The files were maintained by Kuhn, Loeb & Company staff, who handled financial matters for the extended family. The records include statements from individual investment accounts and property insurance, employee records, bill payments, check registers and cancelled checks, property management records, income tax returns and family correspondence. The records largely concern Mrs. Frieda Warburg and her estate, as well as her five children; there are also materials concerning her siblings and her grandchildren.

Considerable material documents the family's Warburg Foundation. These records include correspondence, financial reports and statements, and meeting minutes. This subseries also includes correspondence related to Frieda Warburg's efforts to help German Jews through the National Coordinating Committee for Aid to Refugees and Immigrants coming from Germany, circa 1938-1941. Also included are records of the Wilfred Fund, a charitable organization managed by Frederick M. Warburg.

Correspondence is arranged chronologically. Records of the Warburg Foundation are arranged alphabetically within chronological divisions.

■ I.4.1 Correspondence, 1899-1968

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- **Box 271, f. 5** Warburg, Gerald F.: [Kuhn, Loeb, & Co.,] 1949
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- **Box 273, f. 8** Warburg, Frederick M.: [Travel]: [Europe,] [1950]
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- **Box 274, f. 12** Warburg, Frieda S. (Mrs. Felix M.): [160 East 82nd Street,] 1952
- **Box 274, f. 13-21** Warburg, Frieda S. (Mrs. Felix M.): [170 East 75th Street,] 1952
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- **Box 306, f. 10** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, November 1944]
- **Box 306, f. 11** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, December 1944]
- **Box 306, f. 12** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, December 1944-January 1945]
- **Box 306, f. 13** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, December 1944-January 1945]
- **Box 306, f. 14** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, February 1945]
- **Box 306, f. 15** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, March 1945]
- **Box 306, f. 16** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, April 1945]
- **Box 306, f. 17** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, May 1945]
- **Box 306, f. 18** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, June 1945]
- **Box 306, f. 19** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, July 1945]
- **Box 306, f. 20** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, August 1945]
- **Box 306, f. 21** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, September 1945]
- **Box 306, f. 22** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, October 1945]
- **Box 306, f. 23** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, November 1945]
- **Box 306, f. 24** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, December 1945]
- **Box 306, f. 25** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, January 1946]
- **Box 306, f. 26** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, February 1946]
- **Box 306, f. 27** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, March 1946]
- **Box 306, f. 28** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, April 1946]
- **Box 306, f. 29** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, May 1946]

- **Box 306, f. 30** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, June 1946]
- **Box 306, f. 31** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, July 1946]
- **Box 306, f. 32** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, August 1946]
- **Box 306, f. 33** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, September 1946]
- **Box 306, f. 34** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, October 1946]
- **Box 307, f. 1** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, November 1946]
- **Box 307, f. 2** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, December 1946]
- **Box 307, f. 3** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, January 1947]
- **Box 307, f. 4** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, February 1947]
- **Box 307, f. 5** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, March 1947]
- **Box 307, f. 6** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, April 1947]
- **Box 307, f. 7** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, May 1947]
- **Box 307, f. 8** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, June 1947]
- **Box 307, f. 9** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, July 1947]
- **Box 307, f. 10** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, August 1947]
- **Box 307, f. 11** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, September 1947]
- **Box 307, f. 12** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, October 1947]
- **Box 307, f. 13** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, November 1947]
- **Box 307, f. 14** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, December 1947]
- **Box 307, f. 15** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, January 1948]
- **Box 307, f. 16** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, February 1948]
- **Box 307, f. 17** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, March 1948]
- **Box 307, f. 18** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, April 1948]
- **Box 307, f. 19** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, May 1948]
- **Box 307, f. 20** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, June 1948]

- **Box 307, f. 21** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, July 1948]
- **Box 307, f. 22** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, August 1948]
- **Box 307, f. 23** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, September 1948]
- **Box 307, f. 24** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, October 1948]
- **Box 307, f. 25** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, November 1948]
- **Box 307, f. 26** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, December 1948]
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- **Box 307, f. 28** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, February 1949]
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- **Box 307, f. 31** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, May 1949]
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- **Box 307, f. 33** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, July 1949]
- **Box 307, f. 34** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, August 1949]
- **Box 307, f. 35** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, September 1949]
- **Box 307, f. 36** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, October 1949]
- **Box 307, f. 37** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, November 1949]
- **Box 307, f. 38** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, December 1949]
- **Box 308, f. 1** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, January 1950]
- **Box 308, f. 2** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, February 1950]
- **Box 308, f. 3** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, March 1950]
- **Box 308, f. 4** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, April 1950]
- **Box 308, f. 5** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, May 1950]
- **Box 308, f. 6** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, June 1950]
- **Box 308, f. 7** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, July 1950]

- **Box 308, f. 8** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, August 1950]
- **Box 308, f. 9** [Warburg, Frieda S.: Statements and Cancelled Checks, Bank of Manhattan, September 1950]
- **Box 308, f. 10** [Warburg, Frieda S.: Statements and Cancelled Checks, First National Bank, January 1944]
- **Box 308, f. 11** [Warburg, Frieda S.: Statements and Cancelled Checks, First National Bank, February 1944]
- **Box 308, f. 12** [Warburg, Frieda S.: Statements and Cancelled Checks, First National Bank, March 1944]
- **Box 308, f. 13** [Warburg, Frieda S.: Statements and Cancelled Checks, First National Bank, April 1944]
- **Box 308, f. 14** [Warburg, Frieda S.: Statements and Cancelled Checks, First National Bank, February 1945]
- **Box 308, f. 15** [Warburg, Frieda S.: Statements and Cancelled Checks, First National Bank, March 1945]
- **Box 308, f. 16** [Warburg, Frieda S.: Statements and Cancelled Checks, First National Bank, April 1945]
- **Box 308, f. 17** [Warburg, Frieda S.: Statements and Cancelled Checks, First National Bank, June 1945]
- **Box 308, f. 18** [Warburg, Frieda S.: Statements and Cancelled Checks, First National Bank, April 1946]
- **Box 308, f. 19** [Warburg, Frieda S.: Statements and Cancelled Checks, First National Bank, May 1946]
- **Box 308, f. 20** [Warburg, Frieda S.: Charitable Donations Journal, c1930s]
- **Box 308, f. 21** [Warburg, Frieda S.: Monthly Expense Records, 1934, 1937-1939]
- **Box 308, f. 22** [Warburg, Frieda S.: Monthly Expense Records, 1940-1942]
- **Box 308, f. 23** [Warburg, Frieda S.: Monthly Expense Records, 1943-1944]
- **Box 308, f. 24** [Warburg, Frieda S.: Monthly Expense Records, 1945-1946]
- **Box 308, f. 25** [Warburg, Frieda S.: Monthly Expense Records, 1947, n.d.]
- **Box 309, f. 1** [The Wilfred Fund: Statements and Cancelled Checks, Empire Trust Co., January-February 1959]
- **Box 309, f. 2** [The Wilfred Fund: Statements and Cancelled Checks, Empire Trust Co., March-April 1959]
- **Box 309, f. 3** [The Wilfred Fund: Statements and Cancelled Checks, Empire Trust Co., May-June 1959]
- **Box 309, f. 4** [The Wilfred Fund: Statements and Cancelled Checks, Empire Trust Co., July-October 1959]
- **Box 309, f. 5** [The Wilfred Fund: Statements and Cancelled Checks, Empire Trust Co., November-December 1959]
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- **Box 309, f. 10** [The Wilfred Fund: Statements and Cancelled Checks, Empire

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- **Box 309, f. 11** [The Wilfred Fund: Statements and Cancelled Checks, Empire Trust Co., January 1961]
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- **Box 309, f. 17** [The Wilfred Fund: Statements and Cancelled Checks, Empire Trust Co., May-July 1962]
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- **Box 309, f. 21** [The Wilfred Fund: Statements and Cancelled Checks, Empire Trust Co., May-July 1963]
- **Box 309, f. 22** [The Wilfred Fund: Statements and Cancelled Checks, Empire Trust Co., August-October 1963]
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- **Box 309, f. 24** [The Wilfred Fund: Statements and Cancelled Checks, The Seamen's Bank, February 1958-January 1959]
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- **Box 310, f. 7** [Warburg, Frederick M.: Statements and Cancelled Checks, First Natl. City Bank, July-September 1960]
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- **Box 310, f. 12** [Warburg, Frederick M.: Statements and Cancelled Checks, First Natl. City Bank, October-December 1961]
- **Box 310, f. 13** [Warburg, Frederick M.: Statements and Cancelled Checks, First Natl. City Bank, January-March 1962]
- **Box 310, f. 14** [Warburg, Frederick M.: Statements and Cancelled Checks, First Natl. City Bank, April-June 1962]
- **Box 310, f. 15** [Warburg, Frederick M.: Statements and Cancelled Checks, First Natl. City Bank, July-September 1962]
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- **Box 311, f. 2** [Warburg, Frederick M.: Statements and Cancelled Checks, First Natl. City Bank, January-March 1963]
- **Box 311, f. 3** [Warburg, Frederick M.: Statements and Cancelled Checks, First Natl. City Bank, April-June 11, 1963]
- **Box 311, f. 4** [Warburg, Frederick M.: Statements and Cancelled Checks, First Natl. City Bank, June 12-September 12, 1963]
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- **Box 311, f. 6** [Warburg, Frederick M.: Statements and Cancelled Checks, Chase Manhattan Bank, January-April 1959]
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- **Box 313, f. 1** [Warburg, Frieda S.: Check Register, Chemical Bank & Trust, 10/1940-9/1948]
- **Box 313, f. 2** [Warburg, Frieda S.: Check Registers, Chemical Bank & Trust, 9/11/1943-7/17/1944]
- **Box 313, f. 3** [Warburg, Frieda S.: Check Registers, Chemical Bank & Trust,

- 7/24/1944-4/4/1945]
- **Box 313, f. 4** [Warburg, Frieda S.: Check Registers, Chemical Bank & Trust, 4/6/1945-12/10/1945]
 - **Box 313, f. 5** [Warburg, Frieda S.: Check Registers, Chemical Bank & Trust, 12/10/1945-9/24/1946]
 - **Box 314, f. 1** [Warburg, Frieda S.: Check Registers, Chemical Bank & Trust, 10/1/1946-5/6/1947]
 - **Box 314, f. 2** [Warburg, Frieda S.: Check Registers, Chemical Bank & Trust, 5/6/1947-1/9/1948]
 - **Box 314, f. 3** [Warburg, Frieda S.: Check Registers, Chemical Bank & Trust, 1/9/1948-10/8/1948]
 - **Box 314, f. 4** [Warburg, Frieda S.: Check Registers, Chemical Bank & Trust, 10/8/1948-6/6/1949]
 - **Box 314, f. 5** [Warburg, Frieda S.: Check Registers, Chemical Bank & Trust, 6/6/1949-12/22/1949]
 - **Box 315, f. 1** [Warburg, Frieda S.: Check Registers, Chemical Bank & Trust, 12/22/1949-8/4/1950]
 - **Box 315, f. 2** [Warburg, Frieda S.: Check Registers, Bank of Manhattan, 1/15/1943-4/27/1946]
 - **Box 315, f. 3** [Warburg, Frieda S.: Check Registers, Bank of Manhattan, 5/8/1946-1/19/1948]
 - **Box 315, f. 4** [Warburg, Frieda S.: Check Registers, First Natl. Bank, 4/5/1943-2/27/1945]
 - **Box 315, f. 5** [Warburg, Frieda S.: Check Registers, unknown bank, 3/8/1939-10/13/1944]
 - **Box 316, f. 1** [Warburg, Frederick M.: Check Registers, Fiduciary Trust Co., 4/3/1950-5/12/1955]
 - **Box 316, f. 2** [Warburg, Frederick M.: Check Registers, Fiduciary Trust Co., 5/19/1955-2/25/1959]
 - **Box 316, f. 3** [Warburg, Frederick M.: Check Registers, Fiduciary Trust Co., 3/3/1959-3/23/1964]
 - **Box 316, f. 4** [Warburg, Frederick M.: Check Registers, Empire Trust Co., 1/9/1956-9/8/1959]
 - **Box 316, f. 5** [Warburg, Frederick M.: Check Registers, Empire Trust Co., 9/9/1959-6/5/1963]
 - **Box 316, f. 6** [The Wilfred Fund: Check Register, Empire Trust Co., 9/20/1956-5/23/1963]
 - **Box 317, f. 1** [Warburg, Frederick M.: Check Register, First Natl. City Bank, 5/2/1957-1/20/1960]
 - **Box 317, f. 2** [Warburg, Frederick M.: Check Register, First Natl. City Bank, 1/27/1960-4/24/1962]
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 - **I.4.4 Investment account statements, 1963-1966**
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 - **Box 318, f. 4** [Warburg Family]: Loeb, Rhoades & Co.: Account Statements, 1963
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- **Box 319, f. 3-4** Mr. and Mrs. Paul Felix Warburg Fund: Loeb, Rhoades & Co.: Account Statements, 1964
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 - **v. 322** Guta Seligman Trust: Cash book and journal, 1899-1920
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 - **v. 326** Nina J. Warburg Trust: Cash book and journal, 1899-1920
 - **v. 327** Nina J. Warburg Remainder Trust: Ledger, 1910-1920
 - **v. 328** Trustees for Frederick M. Warburg: Ledger, 1916-1920
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 - **v. 332** Warburg, Frederick M.: Cash book and journal, 1939-1945
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 - **v. 335** Warburg, Frederick M.: Accounts ledger, circa 1940s
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 - **v. 337** Trustees for Edward M. Warburg: Ledger, 1918-1920
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 - **v. 341** Trustees for Gerald F. Warburg: Ledger, 1919-1920
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- v. 361 Warburg, Wilma S.: Cash book and journal, 1955-1956
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- v. 363 Thackrey, Dorothy S.: Cash book and journal, 1948-1955
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- v. 365 Wiseman, Joan M.: Cash book and journal, 1953-1956
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- v. 368 Warburg trusts: Accounts ledger, circa 1950s
- **I.4.6 Trust Documents, 1932-1971**
 - *Scope and Content:* This subseries contains trusts, wills, and life insurance policies pertaining to the Warburg family.
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 - Box 589, f. 12 Geraldine Alice Warburg Will and Codicil, 1949 and 1952
 - Box 589, f. 13 Mary Helen Warburg Will, Aug 9, 1960
 - Box 589, f. 14 Felix Max Warburg Will, June 8, 1945
 - Box 589, f. 15 Wilma S. Warburg Will, April 8, 1971
 - Box 590, f. 1 James P. Warburg Trust, 1932-1934
 - Box 590, f. 2 James P. Warburg Trust, 1935
 - Box 590, f. 3 Mary Whelan Warburg Will (1960) and Codicil (1962)
 - Box 590, f. 4 Bettina Warburg Trust, 1932
 - Box 590, f. 5 Edward M. Warburg, 1965-1966
 - Box 590, f. 6 Werner H. & Sarah Ann Kramarsky Agreement, 1962
 - Box 590, f. 7 Sarah Ann Kramarsky Will, Mar. 31, 1960
 - Box 590, f. 8 Lila Stanley Will, Dec. 27, 1938
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 - Box 591, f. 6 Flora Mezger Property, 1932-1940
- **Subseries I.5 Hugh Knowlton records, 1868-1963**
 - *Scope and Content:* Hugh Knowlton (1893-1981) was born in Brookline, Massachusetts, and educated at Yale University and Harvard Law School. He served in the Army during World War I, practiced as a lawyer in New York, and served as vice president of the International Acceptance Bank before becoming partner at Kuhn, Loeb & Company in 1933. He was a partner from 1933 to 1977, with the exception of the years 1942-1945. Knowlton was an early specialist in aviation financing and published a book, *Air Transportation in the United States*, in 1941. He became an advisory director when Kuhn, Loeb & Company merged with Lehman Brothers in 1977. Knowlton was married twice and had four children from his first marriage.
 - This subseries contains personal and family papers, property ownership records and financial records. The files were maintained by Kuhn, Loeb & Company staff and are arranged alphabetically.

- **Box 369, f. 1** Knowlton, Hugh: [Alfol Insulation Co.,] 1946, 1952
- **Box 369, f. 2-8** Knowlton, Hugh: Alice Knowlton Estate, [1945-1946]
- **Box 369, f. 9-22** Knowlton, Hugh: Account 'X', [1952-1958]
- **Box 369, f. 23** Knowlton, Hugh: Apartment: 580 Park Ave. NYC, [1954]
- **Box 370, f. 1-2** Knowlton, Hugh: Bronson Winthrop, [1929-1932]
- **Box 370, f. 3-14** Knowlton, Hugh: [Bank of Manhattan Trust Co., 1931-1932]
- **Box 371, f. 1-4** [Knowlton, Hugh: Bank Statements and Returned Checks, 1956-1959]
- **Box 371, f. 5-16** Knowlton, Hugh: [Boat: Stonington Boat Works Inc., 1950-1951]
- **Box 371, f. 17** [Knowlton, Hugh: Commonwealth Oil Company, 1954]
- **Box 371, f. 18-19** [Knowlton, Hugh: Daniel S. Knowlton, 1921-1929]
- **Box 372, f. 1** Knowlton, Hugh: [Denver Julesburg Basin, 1951-1953]
- **Box 372, f. 2-5** Knowlton, Hugh: Egremont Marble Company, [1928-1949, 1960]
- **Box 372, f. 6** [Knowlton, Hugh]: Egremont, Mass.: New House, [1947-1948]
- **Box 372, f. 7** [Knowlton, Hugh]: Egremont Property, [1951]
- **Box 372, f. 8** Knowlton, Hugh: Egremont Taxes, [1935-1953]
- **Box 372, f. 9-11** [Knowlton, Hugh]: Erica Lund, [1950-1956]
- **Box 372, f. 12** [Knowlton, Hugh]: Erica Lund, [Taxes, 1955-1956]
- **Box 372, f. 13-16** Knowlton, Hugh: European Trip and Expenses, 1958
- **Box 372, f. 17** Knowlton, Hugh: Gift Tax Returns, 1937-1938, 1951-1954
- **Box 372, f. 18-19** Knowlton, Hugh: Harry L. Joyce, [1931-1932]
- **Box 372, f. 20** Knowlton, Hugh: Harry L. Joyce, [1931-1932, 1945-1949]
- **Box 372, f. 21** [Knowlton, Hugh: Herbert Pender, 1914]
- **Box 373, f. 1-9** Knowlton, Hugh: Income Tax, 1951-1960
- **Box 373, f. 10-13** Knowlton, Hugh: Income Tax: Contributions, 1951-1954
- **Box 373, f. 14** [Knowlton, Hugh]: Investments and Bankers Association of America, [1953-1957]
- **Box 373, f. 15** [Knowlton, Hugh]: Investments and Bankers Association of America: [Report of the Aviation Securities Committee, 1953]
- **Box 373, f. 16** [Knowlton, Hugh: Joyce Family, 1868, 1894, 1904]
- **Box 373, f. 17-19** [Knowlton, Hugh: Jug End Barn, 1947-1954]
- **Box 373, f. 20-21** [Knowlton, Hugh]: Kay Swift Hubbard Trust, [1942-1946]
- **Box 373, f. 22** [Knowlton, Hugh: Kirby Lumber Corp., 1956]
- **Box 373, f. 23** [Knowlton, Hugh: Kuhn, Loeb & Company Statements, 1958-1959]
- **Box 373, f. 24** [Knowlton, Hugh: Kuhn, Loeb & Co. Statements, 1958-1959]
- **Box 374, f. 1** Knowlton, Hugh: [Miscellaneous, 1932, 1937, 1944, 1947]
- **Box 374, f. 2-3** [Knowlton, Hugh]: Ralph C. McDermott (South Egremont), [1946-1950]
- **Box 374, f. 4** [Knowlton, Hugh]: Replacement Fund, [1941-1946]
- **Box 374, f. 5** [Knowlton, Hugh: Rocky Mt. Project, 1952-1954]
- **Box 374, f. 6** [Knowlton, Hugh: Schwien Engineering Company, 1951-1954]
- **Box 374, f. 7-23** Knowlton, Hugh: [Securities Transactions, 1930-1958]
- **Box 375, f. 1-4** Knowlton, Hugh: [Securities Transactions, 1930-1958]
- **Box 375, f. 5-7** [Knowlton, Hugh]: South American Trip, [1941-1942]
- **Box 375, f. 8-9** [Knowlton, Hugh]: South Egremont Property, [1958-1963]
- **Box 375, f. 10** Knowlton, Hugh: Speech: N.Y. Financial Advertisers, [Ca. 1930?]
- **Box 375, f. 11-13** [Knowlton, Hugh]: Syossett Property (sale of), [1949-1951]
- **Box 375, f. 14** Knowlton, Hugh: Trust, 1955-1956
- **Box 375, f. 15-21** Knowlton, Hugh: Trust #2, 1957-1962
- **Subseries I.6 Clifford W. Michel records, 1951-1973**
Scope and Content: Clifford W. Michel (1911-1976) was a partner at Kuhn, Loeb &

Company from 1972-1976, after serving many years as managing partner at Loeb, Rhoades, & Co. He was chairman of the Association of Stock Exchange Firms in 1971. He was married and had three children.

The subseries contains personal correspondence and financial materials, primarily concerning the Michel Foundation. They are arranged alphabetically by subject. Most of the records predate Michel's tenure at Kuhn, Loeb & Company

- **Box 376, f. 1** Michel, Clifford: Gilbert Miller Estate, 1968-1969
 - **Box 376, f. 2-4** Michel, Clifford: Gilbert Miller Estate, 1969
 - **Box 376, f. 5-6** Michel, Clifford: Gilbert Miller Fund, 1964-1969
 - **Box 376, f. 7** Michel, Clifford: Gilbert Miller Fund, 1970-1971
 - **Box 376, f. 8** Michel, Clifford: Michel Foundation, 1951-1953
 - **Box 376, f. 9-10** Michel, Clifford: Michel Foundation, 1965-1969
 - **Box 376, f. 11-15** Michel, Clifford: Michel Foundation, 1970-1973
 - **Box 377, f. 1-2** Michel, Clifford: Michel Foundation, 1970-1973
 - **Box 377, f. 3** Michel, Clifford: [Miscellaneous,] 1959-1968
 - **Box 377, f. 4-13** Michel, Clifford: [Miscellaneous,] 1969-1973
 - **Box 378, f. 1-12** Michel, Clifford: [Receipts,] 1969-1973
- o **Subseries I.7 Family trust and investment statement books, 1923-1969**

Scope and Content: This subseries contains hinged and bound account books created by Kuhn, Loeb & Company staff for the management of personal trusts and investment accounts for members of various executives and their extended families. These books contain investment and trust account statements.

Also included are a ledger and cash book from J. L. & Co., created to manage the finances of James Loeb (1867-1933). James Loeb was the son of Solomon Loeb, one of Kuhn, Loeb & Company's founding partners. He was a banker and philanthropist whose passion for Greek and Roman studies led him to create the Loeb Classical Library, a series of books designed to make classical texts available to a wide audience. He lived in Germany for the last decades of his life.

- **v. 379** J. L. & Co.: Ledger, 1923-1937
- **v. 380** J. L. & Co.: Cash book, 1923-1937
- **v. 381** [Kuhn, Loeb & Co.: Investment accounts ledger: Backer to Warburg,] circa 1930-1950
- **v. 382** [Kuhn, Loeb & Co.: Trust accounts statement book]: Backer & Bittenweiser, 1940-1953
- **v. 383** [Kuhn, Loeb & Co.: Investment accounts statement book]: Schiff to Warburg, 1940-1953
- **v. 384** [Kuhn, Loeb & Co.: Investment accounts statement book]: Marriott Trust of New Jersey to Estate of Paul F. Warburg, [1956-1972]
- **v. 385** [Kuhn, Loeb & Co.: Investment accounts statement book]: Sarah Ann Backer Trust to Daisy Schiff Trust, 1960
- **v. 386** [Kuhn, Loeb & Co.: Investment accounts statement book]: Victoria Schiff Trust to Estate of A. Wolff Special Life Trust, 1960
- **v. 387** [Kuhn, Loeb & Co.: Investment accounts statement book]: Edward M. M. Warburg Trust to Estate of A. Wolff-Special Life Trusts, 1962-1963
- **v. 388** [Kuhn, Loeb & Co.: Investment accounts statement book]: Frederick M. Warburg to Morris H. Wright, 1963
- **v. 389** [Kuhn, Loeb & Co.: Investment accounts statement book]: Robert F. Brown to Peter W. Kahn, 1965
- **v. 390** [Kuhn, Loeb & Co.: Investment accounts statement book]: Polly S. Kahn to Nathaniel Samuels, 1965

- v. 391 [Kuhn, Loeb & Co.: Investment accounts statement book]: The Schiff Foundation to Edward & Mary Warburg Fund, 1965
- v. 392 [Kuhn, Loeb & Co.: Investment accounts statement book]: Estate of James Ashdown to Kenneth N. Hall, 1967
- v. 393 [Kuhn, Loeb & Co.: Investment accounts statement book]: Sarah Ann Backer Trust to Adele T. Hall Trust, 1967
- v. 394 [Kuhn, Loeb & Co.: Investment accounts statement book]: Dorothy T. Hall Trust to Michael A. Loeb Trust, 1967
- v. 395 [Kuhn, Loeb & Co.: Investment accounts statement book]: Brian Maass Trust to John Barry Ryan III Trust, 1967
- v. 396 [Kuhn, Loeb & Co.: Investment accounts statement book]: Leo J. Ryan Trust to Estate of A. Wolff Margaret D. Ryan Trust, 1967
- v. 397 [Kuhn, Loeb & Co.: Investment accounts statement book]: Dorothy Schiff to Frederick M. Warburg, 1967
- Box 398 [Kuhn, Loeb & Co.: Investment accounts statement book]: John M. Schiff to Frederick M. Warburg, 1967
- v. 399 [Kuhn, Loeb & Co.: Investment accounts statement book]: Estate of Frieda S. Warburg to Morris H. Wright, 1967
- v. 400 [Kuhn, Loeb & Co.: Investment accounts statement book]: Sarah Ann Backer Trust to Michael A. Loeb Trust, 1968
- v. 401 [Kuhn, Loeb & Co.: Investment accounts statement book]: Claire Anne Baugh to Dr. Mary Samuels, 1968
- v. 402 [Kuhn, Loeb & Co.: Investment accounts statement book]: Robert F. Brown to John Barry Ryan III Partners, 1968
- v. 403 [Kuhn, Loeb & Co.: Investment accounts statement book]: The Schiff Foundation to John William Wiseman, 1968
- v. 404 [Kuhn, Loeb & Co.: Investment accounts statement book]: Sarah Ann Backer Trust to Michael A. Loeb Trust, 1969
- v. 405 [Kuhn, Loeb & Co.: Investment accounts statement book]: Anne C. Bovenizer to Dr. Mary Samuels, 1969
- v. 406 [Kuhn, Loeb & Co.: Investment accounts statement book]: Brian H. Maass Trust to Estate of A. Wolff Margaret D. Ryan Trust, 1969
- v. 407 [Kuhn, Loeb & Co.: Investment accounts statement book]: The Schiff Foundation to Woodland Car Company, 1969
- v. 408 [Kuhn, Loeb & Co.: Investment accounts statement book]: Marvin L. Warner to Westminster Bank Ltd. Sterling, 1966

o **Subseries I.8 Lehman Family, 1868-1977**

Scope and Content: This subseries contains trusts, wills, deeds, property agreements, estate papers, and miscellaneous family administrative papers of Lehman family members, 1869-1977.

Related Material: For related material and material related specifically to Robert Lehman, see Series I.1 Robert Lehman records.

▪ **I.8.1 Trust and Property Documents, 1868-1977**

- **Box 591, f. 7** Mayer Lehman Estate: Irving Lehman Trust, 1935
- **Box 591, f. 8** Mayer Lehman Real Estate: 420 Lenox Ave. New York, NY, 1927-1934
- **Box 591, f. 9** Mayer Lehman Real Estate: Joshua Freiburger Deed in Foreclosure, 1935
- **Box 591, f. 10** Emanuel and Mayer Lehman Deeds to Lots in Salem Fields Cemetery, 1869

- **Box 591, f. 11** Emanuel Lehman Trust with Sigmund Lehman, Philip Lehman, and Mayer Lehman, 1898
- **Box 591, f. 12** Emanuel Lehman Deed, April 5, 1871
- **Box 591, f. 13** Emanuel Lehman Letter to his Executors, Feb 3, 1898
- **Box 591, f. 14** Emanuel Lehman Trust Deed and Agreement, 1898
- **Box 591, f. 15** Emanuel Lehman Abstract to Title Deed, 1870
- **Box 591, f. 16** Emanuel Lehman Real Estate: Land in Salt Lake City, 1893-1910
- **Box 591, f. 17** Philip Lehman Trust/Will, 1938-1942
- **Box 591, f. 18** Philip Lehman Mortgage and Rent, 1908-1940
- **Box 591, f. 19** Philip Lehman: Crippled Children's East Side Free School, 1907
- **Box 591, f. 20** Philip Lehman Check Book, 1938
- **Box 591, f. 21** Philip Lehman Artwork Insurance, 1913
- **Box 591, f. 22** Philip Lehman Estate Cemetery Plot, 1938
- **Box 591, f. 23** Philip Lehman Deed to Congregation Emanu-el Pew #102, 1934
- **Box 591, f. 24** Philip Lehman Last Will and Testament, 1938
- **Box 591, f. 25** Philip Lehman Codicil to Will, 1938 & 1944
- **Box 591, f. 26** Philip Lehman Last Will, May 9, 1939
- **Box 592, f. 1** Philip Lehman Will Indemnifico, 1952
- **Box 592, f. 2** Philip Lehman: Real Estate: 7 West 54th Street, New York, NY, 1961
- **Box 592, f. 3** Philip Lehman Deeds, 1907-1911
- **Box 592, f. 4** Philip Lehman General Release, 1940
- **Box 592, f. 5** Philip and Carrie Lehman Tax Returns, 1936
- **Box 592, f. 6** Carrie Lehman Will, 1937
- **Box 592, f. 7** Robert Lehman Marriage Certificate, 1934
- **Box 592, f. 8** Robert Lehman Investment in Los Angeles Rams, 1963
- **Box 592, f. 9** Robert Lehman: Real Estate, Property in Tanger, 1954
- **Box 592, f. 10** Robert Lehman Painting Insurance, 1943
- **Box 592, f. 11** Robert Lehman to Ruth Lehman: Sale of Horses, 1937
- **Box 592, f. 12** Robert Lehman: Real Estate Lease, 1964-1968
- **Box 592, f. 13** Robert Lehman-Papers Relative to Fine Arts, 1930-1936
- **Box 592, f. 14** Robert Lehman: Real Estate, Sands Point Long Island, 1936
- **Box 592, f. 15** Robert Lehman Stock Certificates, 1936-1940
- **Box 592, f. 16** Robert Lehman, re: Trusts, 1936-1940
- **Box 592, f. 17** Robert Lehman Collection-Works of Art, 1927-1942
- **Box 593, f. 1** Philip Lehman to Robert Lehman/Pauline Ickelheimer, Picture Trust
- **Box 593, f. 2** Robert Lehman Paintings Purchased from Pauline Ickelheimer
- **Box 593, f. 3** Lehman Collection, 1962
- **Box 593, f. 4-5** Documents-Picture Trust, circa 1940
- **Box 593, f. 6** Report on Art Objects Owned by Philip Lehman, Pauline Ickelheimer and Robert Lehman, 1942-1943
- **Box 593, f. 7** Report on Art Objects Owned by Philip Lehman, Pauline Ickelheimer and Robert Lehman, 1946
- **Box 593, f. 8** Robert Lehman Fine Arts Insurance
- **Box 593, f. 9** Robert Lehman and Pauline Ickelheimer Agreement, 1935
- **Box 593, f. 10** Pauline L. Ickelheimer Various Policies, 1948
- **Box 593, f. 11** Pauline Ickelheimer: Real Estate, Nassau, 1952-1953
- **Box 593, f. 12** Henry R. Ickelheimer: Real Estate, Sands Point Long Island,

1938

- **Box 593, f. 13** Lehman Children and Grandchildren Trust, 1969
- **Box 593, f. 14** Harold M. Lehman Estate, 1933-1934
- **Box 593, f. 15** Arthur Lehman Estate Settlement Agreement, June 21, 1937
- **Box 594, f. 1** Cecile S. Lehman Will, June 1948
- **Box 594, f. 2** Ruth Owen Lehman Will, 1937
- **Box 594, f. 3** Orin Lehman Will, June 12, 1942
- **Box 594, f. 4** Orin Lehman Birth Certificate (photostat), 1944
- **Box 594, f. 5** Orin Lehman Last Will, 1953
- **Box 594, f. 6** Harold M. Lehman Estate: Tarrytown Property
- **Box 594, f. 7** Lehman Miscellaneous
- **Box 594, f. 8** Lehman Accounts, Memos, Correspondence, 1969-1977
- **Box 594, f. 9** Schedule of Contents-7 West 54th Street New York, NY, circa 1940
- **Box 594, f. 10** Richard M. McCluskey, 1943
- **Box 594, f. 11** Ellen Lehman McCluskey Will, July 14, 1943
- **Box 594, f. 12** Philip Isles Trust #1, 1960
- **Box 594, f. 14** Philip Henry Isles Trust, 1941
- **Box 594, f. 13** Philip Isles Deeds, 1948
- **Box 594, f. 15** Jill Pauline Isles Trust, 1959
- **Box 594, f. 16** Tina Marguerite Isles Family Trust, 1959
- **Box 594, f. 17** Herbert H. Lehman Real Estate, 1928
- **Box 595, f. 1** Hilda A. Master Last Will and Testament, April 17, 1946
- **Box 595, f. 2** Hilda A. Master Will, April 27, 1934
- **Box 595, f. 3** Jean I. Stralem Family Trust, 1941
- **Box 595, f. 4** Lillian Fox Groueff Trust, 1941
- **Box 595, f. 5** Sophie L. Goodhart Estate
- **Box 595, f. 6** Albert L. Ehrman Estate, 1903-1933
- **Box 595, f. 7** Harold D and Elise Hayes: Real Estate, 1931
- **Box 595, f. 8** Maria Di Lonardo: Real Estate, 1930
- **Box 595, f. 9** Frank P. and Regina H. Fitzsimmons: Real Estate, 1930
- **Box 595, f. 10** Isidor Sack Deeds, 1949-1952
- **Box 595, f. 11** Jacob and Elisabetha Weber Mortgage, 1868-1884
- **Box 595, f. 12** Angie Wormser-Last Will and Testament, 1936
- **Box 595, f. 13** James P. Black-Membership Certificates
- **Box 595, f. 14** Real Estate: E 54th St. and 3rd Ave. New York, NY, 1907
- **I.8.2 Bound Financial Volumes, 1892-1931**
 - Scope and Content:* This subseries contains bound financial volumes related to the Lehman family. Included here are journals, trial balances, and ledgers pertaining to Lehman family estates.
 - **v. 527** Trial Balance-S.M. Lehman, 1908-1919
 - **v. 528** Ledger-Mrs. S.M. Lehman, 1909-1928
 - **v. 529** Journal-S.M. Lehman Trustee, 1913-1930
 - **v. 530** Journal, Estate of M. Lehman, July 1897-Dec.31, 1931
 - **v. 531** Cecile S. Lehman, 1918-1929
 - **v. 532** Estate of M. Weil, 1892-Jan 1904, Stocks and Bonds
 - **v. 533** Estate of M. Weil, March 1897-1917, Cash
- **I.8.3 Miscellaneous, 1893-1951**
 - **Box 595, f. 15** Allan S. Lehman Fishing Record, 1893-1951
 - Polo Cain Chin Ranch Cup, 1916



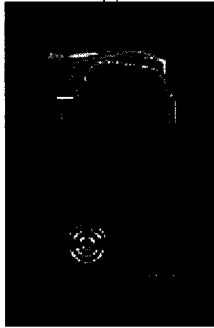
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- Eatontown Polo Club Cup, 1920



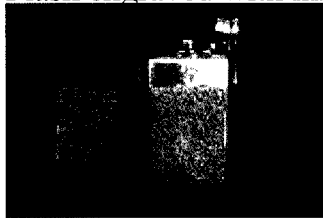
[Click here to open image in a new window](#)

- Gold lighter



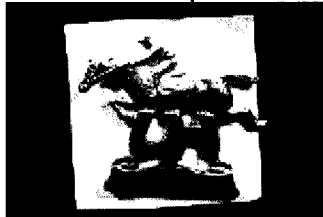
[Click here to open image in a new window](#)

- Flask engraved with initials R.L.



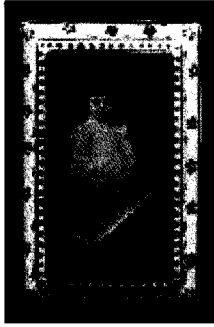
[Click here to open image in a new window](#)

- UH Member pin



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- Photograph of young girl on porcelain



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- **Series II. Administrative records, 1877-2007**

Scope and Content: This series contains a variety of records created by both Lehman Brothers and by Kuhn, Loeb & Company, 1877-2007. The records are organized into three subseries: Office Files—Client files, Kuhn, Loeb & Company, and Lehman Brothers. The bulk of the records are from the 1960s to the 2000s. The client files are arranged alphabetically by client name, and the records of Kuhn, Loeb & Company and Lehman Brothers, Inc. are often interfiled. The records document various types of transactions and include correspondence, legal documents, prospectuses and reports. A large portion of the materials documents Kuhn, Loeb & Company's involvement as financial advisor to the trustees during the reorganization of Penn Central Transportation Company, circa 1971-1978. The Kuhn, Loeb & Company records contain insurance and tax return files, reports, statements and receipts. Also located in this subseries are records pertaining to the merger with Lehman Brothers. The Lehman Brothers records contain a large amount of administrative material and financial material relating to the company. The bulk of the material in the Lehman Brothers subseries was part of the addenda donation.

- **Subseries II.1 Office files—Client files, 1927-1986**

Scope and Content: This subseries contains records of projects and deals that Lehman Brothers and Kuhn, Loeb & Company undertook on behalf of their clients, 1927-1986. The files are arranged alphabetically by client name, and the records of the two firms are interfiled. The records document various types of transactions and include correspondence, legal documents, prospectuses and reports. The bulk of the materials documents Kuhn, Loeb & Company's involvement as financial advisor to the trustees during the reorganization of Penn Central Transportation Company, circa 1971-1978.

- **Box 411, f. 1** A.L.A.: Aerovisas Latino Americanas, S.A., 1946-1947
- **Box 411, f. 2** Allentown Portland Cement Co., 1956
- **Box 411, f. 3** American Airlines, 1958
- **Box 411, f. 4** American Electric Power, 1966
- **Box 411, f. 5** American Optical Company, 1960
- **Box 411, f. 6** American Sulphur Co., 1955-1956
- **Box 411, f. 7-8** Americana Associates, 1970
- **Box 411, f. 9** Americana Associates, 1971
- **Box 411, f. 10** Americana Associates, 1972
- **Box 411, f. 11** Americana Associates, 1973-1974
- **Box 411, f. 12-13** Americana Associates, 1975
- **Box 412, f. 1-2** Americana Associates, 1975
- **Box 412, f. 3-10** Americana Associates, 1976
- **Box 413, f. 1-4** Americana Associates, 1976
- **Box 413, f. 5-11** Americana Associates, 1977
- **Box 414, f. 1-5** Americana Associates: Palisades Apartment Building, 1969
- **Box 414, f. 6** Americana Associates: Palisades Apartment Building, 1970
- **Box 414, f. 7** Arvida Corporation, 1966-1970 (See also Pennsylvania Company)

- **Box 414, f. 8** Arvida Corporation, 1970
- **Box 414, f. 9** Arvida Corporation, 1970-1971
- **Box 414, f. 10-12** Arvida Corporation, 1971
- **Box 414, f. 13** Arvida Corporation, 1972
- **Box 415, f. 1** Arvida Corporation, 1972-1973
- **Box 415, f. 2-4** Arvida Corporation, 1975
- **Box 415, f. 5-9** Bank Leuimile: Israel B.M., 1962
- **Box 415, f. 10** Bedford Grove Corporation, 1927-1931
- **Box 415, f. 11-12** Bethlehem Steel Corporation, 1955
- **Box 415, f. 13-14** Boise Cascade Corporation, 1968
- **Box 415, f. 15** Borg-Warner Corp., 1958
- **Box 416, f. 1** British Columbia Hydro and Power Authority, 1966
- **Box 416, f. 2** British Columbia Hydro and Power Authority, 1966 [Ledger, unfolded]
- **Box 416, f. 3** Brockton Edison Company, 1957
- **Box 416, f. 4** Brush Beryllium Company, 1956
- **Box 416, f. 5** Brush Beryllium Company, 1959
- **Box 416, f. 6** Brush Beryllium Company, 1960
- **Box 416, f. 7** Brush Beryllium Company, 1960 [Ledger, unfolded]
- **Box 416, f. 8-10** Buckeye Pipe Line Company, 1976
- **Box 416, f. 11** Cenco Instruments Corporation, 1968
- **Box 417, f. 1-4** Chemical Corn Exchange Bank, 1957
- **Box 417, f. 5** Chrysler Overseas Capital Corporation, 1968
- **Box 417, f. 6-7** Costal States Gas Producing Company, 1963
- **Box 417, f. 8** Costal States Gas Producing Company, [Ledger, unfolded]
- **Box 417, f. 9** Columbia Pictures, 1966
- **Box 417, f. 10-11** Communications Satellite Corporation, 1968
- **Box 417, f. 12** Crown Zellerbach Corporation: Memo, 1975
- **Box 417, f. 13-14** Crown Agents, 1968-1969
- **Box 418, f. 1-2** Crown Agents, 1969-1970
- **Box 418, f. 3** Crown Agents, 1969-1971
- **Box 418, f. 4-7** Crown Agents, 1970
- **Box 418, f. 8** Crown Agents, 1970-1971
- **Box 418, f. 9** Crown Agents, 1970-1972
- **Box 418, f. 10-14** Crown Agents, 1971
- **Box 419, f. 1-2** Crown Agents, 1971
- **Box 419, f. 3** Crown Agents, 1971-1972
- **Box 419, f. 4** Crown Agents, 1972
- **Box 419, f. 5** Daimler-Benz, 1958
- **Box 419, f. 6-7** Defense Supplies Corporation-Argentina Trip, 1941
- **Box 419, f. 8** Dorsett Electronics, Inc., 1957-1959 (Formerly Burttek, Inc.)
- **Box 419, f. 9** Dorsett Electronics, Inc., 1957-1959
- **Box 419, f. 10** Dorsett Electronics, Inc., 1960-1962
- **Box 419, f. 11** Edward Malley Company, 1973-1974
- **Box 419, f. 12-14** Edward Malley Company, 1975
- **Box 419, f. 15-16** Edward Malley Company, 1976
- **Box 420, f. 1** Edward Malley Company, 1976
- **Box 420, f. 2** Edward Malley Company, 1977
- **Box 420, f. 3-6** Erie-Lackawanna Railroad Company, 1966
- **Box 420, f. 7-9** Erie-Lackawanna Railroad Company, 1967

- **Box 420, f. 10** Fairchild-Hiller Corp., 1966
- **Box 420, f. 11** Federal Paper Board Company, Inc., 1975 (Hoerner Waldorf Corporation)
- **Box 420, f. 12** FIDIA, 1963-1964
- **Box 420, f. 13** Food Companies, 1960-1961, 1977
- **Box 420, f. 14** Fugazy Travel, 1961
- **Box 420, f. 15** Gallahad Corporation, 1927
- **Box 420, f. 16-17** General Analine, 1966
- **Box 420, f. 18** General Dynamics, 1955-1957, 1962-1965
- **Box 420, f. 19** General Foods Corp., 1966
- **Box 420, f. 20** General Telephone & Electronics, 1967
- **Box 420, f. 21** Glasrock Products, 1961
- **Box 420, f. 22** Greyhound Corp., 1963
- **Box 421, f. 1-2** Gulf & Western International N.V., 1968
- **Box 421, f. 3** Hahn Brothers: Storage Lists, 1969
- **Box 421, f. 4** Hahn Brothers: Warehouses, 1967-1969
- **Box 421, f. 5** Helena Rubinstein, Inc, 1967
- **Box 421, f. 6** H & R Johnson Tiles Limited, 1969-1970
- **Box 421, f. 7** Hallmark Cards, 1963
- **Box 421, f. 8-9** Hercules Powder Co., 1963
- **Box 421, f. 10** Hudson Leasing Corporation, 1961-1962
- **Box 421, f. 11** Hudson Leasing Corporation, 1963-1966
- **Box 421, f. 12** Hudson Leasing Corporation, 1967
- **Box 421, f. 13-14** Hughes Tool Co., 1954
- **Box 421, f. 15** Hunt Foods, 1961-1964
- **Box 421, f. 16** Hydrocarbon Finance Corp., 1955
- **Box 421, f. 17** Inland Steel Company Pension Fund, 1966-1969
- **Box 421, f. 18** Inter-American Development Bank, 1962-1963
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- **v. 537A** Kuhn Loeb Holdings Incorporated Common Stock book
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- **Subseries II.3 Lehman Brothers, 1877-2007**

Scope and Content: This subseries contains records of Lehman Brothers, 1877 to 2007. Included here are financial records, communication material, administrative records, material relating to specific company divisions, records of former CEO's, and miscellaneous material. The bulk of the material in this subseries dates from the 1960s to the 1990s. Included is material relating to the company prior to the Kuhn, Loeb & Company merger in 1977, during it's merger with American Express Shearson, and it's break from AMEX/Shearson to a stand alone company again.

 - **Subseries II.3.1 Administrative and Financial, 1877-2007**

Scope and Content: This subseries contains administrative and financial records of Lehman Brothers and Lehman Brothers Kuhn Loeb, 1877 to 2007. Administrative records include quarterly and annual reports, correspondence, meeting minutes, organizational charts, annual reviews, and company procedures. The financial material includes tax information and audit records, financial records of the company, buy and sell receipts, prospectuses, proxy statements, and statements of the financial health of the company. The bulk of the material is from the 1970s and 1990s.

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by or relating to Lehman Brothers from 1957-2007. Included here are awards and recognitions of Lehman employees for outstanding work, news releases, press clippings, memos, company directories and phone lists, speeches and conference related material, deceased employee eulogies, press releases, and invitations to company outings. The bulk of the material is from the 1980s and 1990s.

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Scope and Content: This subseries contain material related to specific company divisions within Lehman Brothers. Included are records pertaining to the human resources, mergers and acquisitions, investment banking division, marketing, legal department, and Lehman Commercial Paper Inc. The records contain financial material, administrative material, and communications.

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Scope and Content: This subseries contains material related to Lehman Brothers and Shearson Lehman/American Express former CEO's and Chairmen. Peter G. Peterson was the Chairman and CEO of Lehman Brothers from 1973-1977 and Lehman Brothers Kuhn Loeb from 1977-1984. Richard S. Fuld was the Chairman and CEO of Lehman Brothers from 1994-2008. William C. Morris was a director at Shearson Lehman/American Express.

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- **Series III. Partnership agreements, 1868-1977**

Scope and Content: This series contains partnership agreements, memorandums of agreement and other legal documents and certificates from Kuhn, Loeb & Company. These records document changes in the firm's partnership over almost a century; many are handwritten. The files are arranged chronologically.

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- **Series IV. Photographs**

Scope and Content: This series contains photographs from the Lehman, Kahn and Warburg families; the bulk is from the Lehman family. The photographs are arranged by subject. Subjects include family portraits and snapshots, social events and dinners, works of art, fishing and horses; there are also slides and negatives of many of the images. Also included are photographs of Neuberger-Berman Company employees and three framed colored photographs presumably of Robert Lehman and his parents.

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Kuhn, Loeb & Company

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American Jewish Joint Distribution Committee

Boy Scouts of America

Kuhn, Loeb & Company

Lehman Brothers.

Lehman Brothers, Kuhn, Loeb.

Lehman Commercial Paper, Inc.

Lehman Government Securities, Inc.

Metropolitan Museum of Art (New York, N.Y.)

National Co-ordinating Committee for Aid to Refugees and Emigrants Coming from Germany

National Jewish Welfare Board.

Pan American World Airways, Inc.

Pan American Airways Corporation
Penn Central Transportation Company
Airlines
Art museums
Banks and banking
Charities
Collectors and collecting
Endowments
Family foundations
Finance
Financial services industry
Horse racing
Investment banking
Race horses
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Railroads--Finance
Securities
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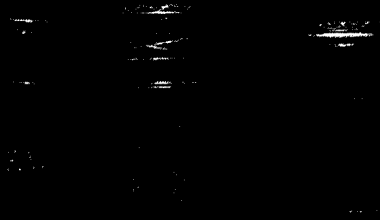
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Webpage Screenshot



Contemporary Business Archives

LEHMAN BROTHERS COLLECTION



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- The Lehman Brothers deal book collection can be browsed via three access points: the [date of the deal](#), the [company name at the time of the deal](#), or [industry type](#).

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Lehman Brothers

HISTORY OF LEHMAN BROTHERS

With a special focus on recognizing the potential of promising industries and helping finance the expansion of these enterprises, Lehman Brothers played an important part in the financial and commercial history of the United States for more than 150 years. The history of the firm offers an inside look at the emergence and growth of American industry and technology as well as the establishment of the modern corporation.

LAYING THE FOUNDATION

In 1844, Henry Lehman immigrated from Rumpin, Germany, to Montgomery, Alabama where he established a small shop selling groceries, dry goods, and utensils to the local cotton farmers. By 1850, his two brothers, Emanuel and Mayer, had joined him in the business, and they named it Lehman Brothers. After Henry Lehman's death in 1857 at the age of 33, the two younger brothers headed the firm for the next four decades. During their tenure, only family members – sons, brothers, and cousins – were permitted as partners. This was a policy that continued until the 1920s.

Soon after its founding, Lehman Brothers evolved from a general merchandising business to a commodities broker that bought and sold cotton for the planters living in and around Montgomery, Alabama. "King Cotton" dominated the economy of the southern United States in the 1850s. As the business grew, a brief partnership was formed with cotton merchant John Wesley Durr to build a cotton storage warehouse, enabling Lehman Brothers to engage in larger sales and trades. A New York office was opened in 1858, giving the firm a stronger presence in the non-commodity trading business as well as a foothold in the financial community.



Mayer Lehman
1867. Courtesy of
the Rare Book and
Manuscript Library at
Columbia University



Emanuel Lehman
Courtesy of the Rare
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Manuscript Library at
Columbia University



Offices for Lehman Durr & Company, 1874
Courtesy of the Rare Book and Manuscript
Library at Columbia University

With much of its operations tied to the southern economy, Lehman Brothers did not escape the hardship of the Civil War. The firm was rebuilt after the war, concentrating its operations in the New York office. In 1870, Lehman Brothers spearheaded the formation of the New York Cotton Exchange, the first commodities futures trading venture. Mayer Lehman was appointed to its first board of directors. As Lehman Brothers' commodities sales and trading

business grew to include other goods, the company also helped to establish the Coffee Exchange and the Petroleum Exchange.

Because of its Southern heritage and Northern connections, Lehman Brothers was designated to be the Alabama government's fiscal agent to help sell the state's bonds in 1867. This was no simple assignment, given the credit rating of the Southern states at that time. The firm was also assigned to service the state's debts, interest payments, and other obligations, beginning a long tradition in municipal finance.

BUILDING THE FINANCIAL FIRM

The rapid development of the railroads helped transform the country from an agrarian to an industrial economy in the years following the Civil War. The boom in railroad construction resulted in tremendous activity on Wall Street, as companies turned to financial markets to raise

funds for expansion. Kuhn, Loeb & Co., which merged with Lehman Brothers nearly a century later, was one of the leading financial advisors and underwriters in the railroad industry. The firm was engaged in the financing of the Chicago and North Western Railroad, the Pennsylvania Railroad, the Baltimore & Ohio, and the Great Northern, along with the reorganization of the Union Pacific.



Railroad Stock Exchange, ca. 1860

Railroad bonds were a milestone in the developing capital markets. To raise the huge amount of money needed to fund the industry's expansion, underwriters began reaching beyond their traditional sources of financing. Bonds were structured at affordable prices and sold to individual investors, bringing masses of first-time investors into the market. Noting this trend, Lehman Brothers expanded its commodities business to include the sales and trading of securities. In 1887 the firm became a member of the New York Stock Exchange, marking the evolution of Lehman Brothers from a commodities business to a merchant-banking firm. The New York office provided the presence to build a securities trading business, and Lehman Brothers aggressively pursued this area. The firm was also becoming more involved in financial advisory, which provided the foundation for developing the underwriting business in the early 1900s.

For a 20-year period beginning in 1906, Emanuel's son, Philip Lehman, and Henry Goldman, the dominant partner in the firm of Goldman, Sachs, formed an alliance to fund the emerging retail industry. The two firms jointly underwrote securities issues for some of the most famous names in the retailing industry, including Sears, Roebuck & Co.; F.W. Woolworth Co.; May Department Stores; Gimbel Brothers, Inc.; and R.H. Macy & Co.



Robert Lehman.

Robert Lehman, Philip's son, became a partner in the firm during the 1920s and quickly moved into the leadership role. Robert Lehman led the firm from 1925 until his death in 1969, a period of significant growth for the firm. His business philosophy centered on his belief that consumption, not production, would determine America's future prosperity. To that end, he steered the firm to back emerging industries geared toward mass consumption. His commitment to identifying growth industries led the firm to become active in the financing of airlines and motion picture companies as well as continuing Lehman Brothers' substantial support of the retailing

industry.

SUPPORTING EMERGING INDUSTRIES

Lehman Brothers was an early backer of the entertainment business, advising on the consolidation of the Keith-Albee and Orpheum theaters in the 1920s. This merger created the nation's largest vaudeville circuit, with more than 700 theaters and a seating capacity of 1.5 million. As the motion picture industry developed in the 1930s, Lehman Brothers helped fund Radio-Keith-Orpheum (RKO), Paramount Pictures, and 20th Century Fox.



Shell Oil Company derrick.

The firm was also interested in the growth of the communications industry in the 1930s, underwriting the first public offering of the leading televised company at that time, Allan B. DuPont Laboratories. In addition, the firm helped fund the Radio Corporation of America (RCA).

The Depression made it difficult even for strong companies to raise capital during the 1930s. To help mediate risk and encourage investment, Lehman Brothers was one of the first firms to devise a new method of financing known as the private placement. These loans between blue-chip borrowers and private lenders included strict safeguards and restrictions for lender safety, enabling borrowers to raise needed capital and lenders to receive an appropriate return with a tolerable level of risk. Innovative at the time, the private placement is a standard financing technique today.

The first half of the twentieth century was also an era of immense expansion in the oil industry. Lehman Brothers became involved, financing Murphy Oil and the TransCanada pipeline, as well as supporting the oil service business of Halliburton and the development of Kerr-McGee's oil and gas exploration and production business.

THE ELECTRONIC AGE



Economic expansion in the 1950s was driven by the arrival of electronic and computer technology. Lehman Brothers



Lab at Digital Equipment Corporation, 1983.

quickly sought investment opportunities in these areas, helping to launch Litton Industries as well as underwriting Digital Equipment Corporation's first public offering.

In the 1960s the firm greatly expanded its capital markets trading capabilities, particularly in commercial paper. This led to the firm's designation as an official dealer for U.S. Treasuries. In the 1960s and 1970s, when many U.S. companies began to expand internationally, Lehman Brothers increased its global presence as

well, opening offices in Europe and Asia. The firm's international stature was further enhanced in 1977 through the merger with the distinguished investment bank, Kuhn, Loeb & Co.

As significant advances in electronic technology and computer science contributed to economic expansion during the 1970s, Lehman Brothers sought opportunities in applied science and technology. Among their new investments were future industry leaders such as QUALCOMM, a developer of digital wireless communication systems, and Loral Corporation, a manufacturer of defense electronics.

In the 1980s, financial advisory centered on mergers and acquisitions as major corporations moved to expand both domestically and internationally. Lehman Brothers acted as an advisor on several large U.S. and cross-border transactions, including Bendix/Allied, Chrysler/American Motors, General Foods/Philip Morris, and Genentech/Hoffman-LaRoche.

ESTABLISHING NEW DIRECTIONS



The Lehman Brothers trading floor in 1985.

The development of personal computers and the elements that made them user-friendly gave rise to a field of related industries in the 1980s, ranging from microprocessors to video games. The fast pace of high-tech research and development enabled tiny start-up ventures with expertise in design, programming, and engineering to become major

international corporations seemingly overnight. Lehman Brothers bought into these new markets by backing companies like Intel, the company that introduced the world's first microprocessor, raising funds to expand its business to meet the demands of the nascent personal computer market.

Advanced research techniques developed during the mid-1980s helped create a new healthcare industry—biotechnology. Lehman Brothers was very active in assisting many new companies in this industry, such as Cetus, obtain the capital base necessary to fund research and development.

In 1984, Lehman Brothers was acquired by American Express and merged with its retail brokerage Shearson to form Shearson Lehman Brothers. American Express began to divest its financial services by business lines in 1992 and eventually, in 1993, the firm was spun off and once again became known solely as Lehman Brothers. In 2000, Lehman celebrated its 150th anniversary. The company's World Trade Center offices were destroyed by the 2001 terrorist attacks, and eventually it moved into its new global headquarters in midtown Manhattan in 2002. Lehman Brothers became entangled in the subprime mortgage lending crisis, which led to its demise in 2008. On September 15, Lehman Brothers Holdings Inc. filed a Chapter 11 bankruptcy petition in federal court. The company's assets were subsequently sold to several other firms, including Barclays Bank, PLC and Nomura Holdings, Inc.

Historical Resources

Consult the Herbert H. Lehman Suite and Papers at Columbia University, <http://www.columbia.edu/cu/lweb/indiv/leh suite/>.

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CUYAMEL FRUIT COMPANY

LIST OF DEALS

- 1925 first mortgage 15-year 6% sinking fund gold bonds, additional issue of capital stock

Cuyamel Fruit Company was an American enterprise that owned thousands of acres of land in Honduras and produced bananas and sugar. Cuyamel Fruit also controlled a railroad in Honduras and several steamships in relation to its agricultural business.

In 1924 *Barron's* attributed the success of Cuyamel Fruit to having "effectively capitalized the love of the American for the fruit of the banana tree." Indeed, in the 1920s Cuyamel Fruit was the world's second largest seller of bananas and tropical fruit after United Fruit Company.

Cuyamel Fruit was incorporated in Delaware in 1923, though the annual meetings took place in New Orleans. Cuyamel Fruit also controlled a local company in Honduras called the Cortes Company, as well as the subsidiary companies of Bluefields Fruit and Transportation Company and the Sula Sugar Company. At the end of 1924 the combined current assets of Cuyamel Fruit, the Cortes Company, and their subsidiaries amounted to \$3.97 million, with liabilities of \$690,902 and earnings of \$1.24 million. In 1925 Cuyamel Fruit issued \$5 million of first mortgage fifteen-year sinking fund gold bonds brokered by Lehman Brothers; Goldman, Sachs & Company; A.G. Becker & Company; and Ames, Emerich & Company. These bonds were intended to retire \$3 million in previously issued 7.5 percent bonds, to buy Ulua lands in Honduras, to retire debt, and to increase working capital.

In 1924 Cuyamel Fruit imported 6.6 million banana stems to the United States. By 1927 it imported 9 million banana stems, over 14 percent of the 61 million total imported to the United States that year. In 1929 President Samuel Zemurry of Cuyamel Fruit sold the property and assets of the company to United Fruit Company. By purchasing Cuyamel Fruit, United Fruit strengthened its hold on the American banana market by expanding to a two-thirds market share.

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CUYAMEL FRUIT COMPANY

Company Deal first mortgage 15-year 6% sinking fund gold bonds, additional issue of capital stock

Transaction Type Sinking Fund Gold Bonds / Capital Stock

Deal Description Cuyamel Fruit Company used a portion of the proceeds from this transaction to retire its outstanding first mortgage 7 1/2% bonds. The company used another portion of the proceeds to pay off \$2,000,000 in connection with the acquisition of the large tract of Ulua lands in the Republic of Honduras. Finally, it used a portion of the proceeds to retire all banking indebtedness and to increase working capital.

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LEHN & FINK PRODUCTS CO.

LIST OF DEALS

- 1925 [Lehn & Fink Products Company: organization record](#)

Lehn & Fink was founded in New York City in 1874.

In 1890 Lehn & Fink introduced Lysol, the first universally branded disinfectant, to the United States by importing it from Schulke & Mayr of Hamburg, Germany. Lehn & Fink began manufacturing Lysol under a licensing agreement in 1912, and in 1922 Lysol was purchased by the company.

In 1907 Lehn & Fink acquired A.S. Hinds Company, the manufacturer of Hinds' Honey and Almond Cream, a nationally known product. Hinds, which was founded in 1875, continued to operate independently.

Lehn & Fink erected large buildings at the corner of William and John Streets in downtown New York in 1911, which they occupied until 1919. By 1925 the company had a plant located in Bloomfield, New Jersey, consisting of seven buildings.

By the 1920s Lehn & Fink owned all of the outstanding stock of Watsessing Garage Company, Products Realization Corporation, and Pebeco, Inc., the latter being the manufacturer of Pebeco Tooth Paste.

In July 1925 a new holding company was created called Lehn & Fink Products for the purpose of acquiring Lehn & Fink, Inc., and A.S. Hinds Company. At the time, this merger was presented as being the first step in a broad plan to acquire similar products through acquisitions. In August 1925 the investment banking firms Goldman Sachs, Lehman Brothers, and Bond & Goodman offered 235,000 shares of common stock of Lehn & Fink Products at \$36.50 a share.

By December 1925 the combined assets for Lehn & Fink Products amounted to \$9.7 million, and it employed 625 people.

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LEHN & FINK PRODUCTS CO.

Company Deal Lehn & Fink Products Company: organization record

Transaction Type Reorganization

Deal Description Lehn & Fink Products Company reorganized in 1925 and issued new common stock.

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NATIONAL DAIRY PRODUCTS CORPORATION

LIST OF DEALS

- 1925 acquisition of Sheffield Companies and issue of 15-year 6% collateral trust notes
- 1962 \$35,000,000 4 3/8% sinking fund debentures due March 15, 1992

The National Dairy Products Corporation was organized in New York City and incorporated in Delaware in December 1923. It was formed for the purpose of acquiring the common stock of the Rieck-McJunkin Dairy Company of Pittsburgh and the Hydrox Corporation of Chicago, two of the largest manufacturers and distributors of ice cream and dairy products in the United States. Management of the new company was made up the heads of both acquired firms: Edward E. Rieck, President of Rieck-McJunkin, who became chairman of National Dairy, and Thomas McInnerney, president of Hydrox, who became president of the new firm. The organizers of this new company expected that it would take its place among other large distributors of food that were being formed during this period. The business plan entailed purchasing or constructing a series of plants through the acquisition of existing businesses, which would be strategically located throughout the country. Each subsidiary was to retain its own name and personnel. This strategy was expected to require lower inventories, more rapid turnover, and shorter credits.

Within months after forming, National Dairy began acquiring other companies. In 1925 alone it acquired eighteen companies. By 1926 it possessed several well-know dairy firms including Breyer Ice Cream of Philadelphia, Harding Ice Cream of Nashville, and Sheffield Farms of New York. In 1926 National Dairy was operating in 1,600 cities and towns in thirteen states from New York to Nebraska. Earnings in 1925 were \$4.9 million from sales of \$105.3 million.

National Dairy employed approximately 35,000 people by 1930 and earned \$26.3 million from sales of \$374.6 million. On the basis of both sales volume and profits it claimed the honor of being the largest food products company in the country by a wide margin. Soon, National Dairy began acquiring companies outside of dairy products, purchasing Deerfoot Farms of Boston, a manufacturer of sausages. It also formed National Juice Corporation to produce orange juice in Tampa, Florida, which was then distributed through regular milk routes.

National Dairy made its largest acquisition to date by adding Kraft Phenix Cheese Corporation in 1930. Since Kraft alone earned over \$86 million, this brought National Dairy's sales up to over \$400 million.

Sales and earnings growth moderated for National Dairy during the 1930s. The retail milk distribution industry was particularly competitive and highly regulated so the company attempted to diversify its line of manufactured milk products.

In 1940 National Dairy earned \$11.1 million on sales of \$347.4 million. Demand for milk, cheese, and other dairy products soared during the wartime years for both civil and military customers. In 1941 the company reported record earnings of \$83.6 million on sales of \$431 million, and in 1944 new records were set again when the company achieved sales of \$593.9 million. Sales to the U.S. military represented a significant portion of these sales. Deliveries to the U.S. government in 1944 included 48 million quarts of milk, 8.5 million gallons of ice cream, 101 million pounds of cheese, 23.5 million pounds of butter, 500,000 pounds of other Army and Navy ration spreads, ten million pounds of margarine, 4.5 million pounds of powdered milk, one million cases of evaporated milk, 769,000 gallons of salad dressing and three million cans of Tushonka, a Russian Army meat ration.

In the post-war years of 1945 through 1960, National Dairy spent more than \$100 million expanding and modernizing plant and equipment as well as the building a new research laboratory. In 1948 sales reached \$986.4 million, the highest in the company's twenty-five-year history.

During the 1950s National Dairy continued to invest heavily in new equipment, spending \$230 million between 1945 and the end of 1953. In 1956 the company acquired Metro Glass Company, a maker of glass containers used by National Dairy. The company also constructed new plants in Germany, Australia, and England, one indicator of the growing importance of non-U.S. sales to National Dairy. In 1961 it also entered the fish business by purchasing Green's Products, Ltd., the largest canner and distributor of tuna fish and salmon in Australia.

In 1962 increasing consumption of dairy products by the U.S. public, aided by the introduction of new products and advertising, helped lift sales for National Dairy to a record \$1.82 billion. These new products included a liquid high-protein weight control product called "Sealtest 900 Calorie Diet."

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NATIONAL DAIRY PRODUCTS CORPORATION

Company Deal	acquisition of Sheffield Companies and issue of 15-year 6% collateral trust notes
Transaction Type	Collateral Trust Notes
Deal Description	National Dairy Products Corporation used the proceeds from this transaction in connection with the acquisition of common stock of Sheffield Farms Company, Inc., Sheffield Condensed Milk Company, Inc., and Sheffield By-Products Company, Inc.

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NATIONAL DAIRY PRODUCTS CORPORATION

Company Deal \$35,000,000 4 3/8% sinking fund debentures due March 15, 1992

Transaction Type Sinking Fund Debentures

Deal Description National Dairy Products Corporation added the net proceeds from this transaction to its general funds. Such funds were available for general corporate purposes, including the retirement of short-term indebtedness to banks, investment in plant and equipment, carrying of increased inventories and receivables resulting from the growth of the business, and maintenance of an adequate working capital position.

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RICHARD HELLMANN, INC.

Company Deal	recapitalization participating preference stock sale
Transaction Type	Participating Preference Stock
Deal Description	Richard Hellmann, Inc., used the proceeds from this transaction as part of its capitalization program.

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S. OPPENHEIMER & CO.

Company Deal recapitalization

Transaction Type Cumulative Preferred Stock

Deal Description S. Oppenheimer & Co. used the proceeds from this transaction as part of its capitalization program.

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SPEAR & COMPANY

Company Deal recapitalization, issue of \$4,500,000 preferred stock, \$1,500,000 second preferred stock, 225,000 shares common stock

Transaction Type Cumulative Preferred Stock / Second Preferred Stock / Common Stock

Deal Description Spear & Company used the proceeds from this transaction as part of its capitalization program.

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THE EMPORIUM CORPORATION

LIST OF DEALS

- 1925 organization and initial capital stock issue of 1925

The Emporium was a large, well-known department store located in San Francisco that was incorporated in July 1897. It was the first department store in San Francisco, and its annual volume for business for the first two decades of its existence was approximately twice that of its nearest competitor. The store was located at the corner of Van Ness Avenue and Post Street.

In 1898 sales were approximately \$1.5 million.

During the San Francisco Earthquake of 1906, the company not only survived but prospered. Newspaper accounts of the time reported that after the earthquake the Emporium constructed temporary quarters that were larger than the original building and that they were installing large, modern show windows indicating the strength of business.

By the 1920s the Emporium department store occupied a building with nearly 600,000 square feet. Sales in 1921 were \$14.4 million. In 1925 the Emporium Corporation was incorporated in Delaware as a holding company for the Emporium department store. The Emporium Corporation also controlled Marian Realty Company, which in 1925 was constructing the Crystal Palace Market in San Francisco with an area of 233,000 square feet.

In 1925 Emporium employed approximately 2,000 people and had sales of \$16.8 million and assets of \$9.2 million.

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THE EMPORIUM CORPORATION

Company Deal organization and initial capital stock issue of 1925

Transaction Type Capital Stock

Deal Description The Emporium Corporation used the proceeds from this transaction as part of its capitalization program.

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THE OUTLET COMPANY

Company organization; issue of \$3,500,000 preferred stock; \$500,000 second preferred
Deal stock; 100,000 shares common stock

Transaction Cumulative Preferred Stock / Cumulative Second Preferred Stock / Common
Type Stock

Deal The Outlet Company used the proceeds from this transaction as part of its

Description capitalization program.

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COLLINS & AIKMAN CORP.

LIST OF DEALS

- 1926 Collins & Aikman Company: issue of \$5,000,000 7 % cumulative convertible preferred stock
- 1966 Collins & Aikman Corporation: \$10,000,000 4 5/8% convertible subordinated debentures due July 1, 1991

G. L. Kelty, a precursor to the Collins & Aikman Corporation, was founded in 1843 by Gibbons Kelty. Kelty sold window shades in New York City and gradually added home furnishing lines and upholstery fabrics. By 1870 the company was operating several downtown stores, selling furniture, curtains, and upholstery; the company also operated a textile factory in Astoria, New York. After Gibbons Kelty's death, his nephew, Charles Aikman, formed C. M. Aikman & Co.; Aikman then bought out the principal Kelty interests in the company, which included a half interest in a weave plant in Philadelphia. William G. Collins owned the other half interest in the plant. Collins and Aikman incorporated the company in 1891 as Collins & Aikman Company.

Collins & Aikman specialized in heavy fabric for upholstery and became the first American producer of jacquard velvet in 1898. The company began to make fabrics for auto seats in the 1920s. The company went public in 1926 and was listed on the New York Stock Exchange. It was reincorporated as Collins & Aikman Corporation in 1927. In 1937 the company expanded to develop airplane upholstery.

In the post World War II years, the company diversified into institutional carpets as plastics supplanted textiles for many auto interior components. Collins & Aikman expanded through acquisitions in the 1960s and followed a policy of replacing outmoded plants and machinery as well as outdated products. By 1966 the company's products included knitted, woven, and tufted materials for apparel, tricot, pile fabrics, upholstery for home furnishings, area rugs, plush fabrics for toys, upholstery for automobiles and airplanes, wet filtration fabrics, swimming pool cover material, netting fabrics, weather-stripping fabric, automobile carpets, and spun yarns.

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COLLINS & AIKMAN CORP.

Company Deal	Collins & Aikman Company: issue of \$5,000,000 7 % cumulative convertible preferred stock
Transaction Type	Cumulative Convertible Preferred Stock
Deal Description	Collins & Aikman Company used the proceeds from this transaction to acquire all the assets and property, including the business, of Collins & Aikman Co., a New Jersey corporation, and all the outstanding capital stock of Collins and Aikman Company, a Pennsylvania corporation. A portion of the proceeds was also used to acquire all the property, assets, and business of Bennett and Aspden Company, as well as all of the outstanding capital stock of Bennett and Aspden Realty Company.

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COLLINS & AIKMAN CORP.

Company Deal Collins & Aikman Corporation: \$10,000,000 4 5/8% convertible subordinated debentures due July 1, 1991

Transaction Type Convertible Subordinated Debentures

Deal Description Collins & Aikman Corporation added the net proceeds from this transaction to the general funds of the corporation. A portion of the proceeds was applied to the reduction of short-term debt, which was incurred in part in connection with an acquisition and in part to finance inventory and for a variety of other corporate purposes. The corporation acquired a small yarn-manufacturing company in June of 1966 to provide facilities for production of certain other types of yarn, which it was believed would be complementary to the corporation's yarn. The corporation anticipated further capital expenditures for a new plant and equipment in addition to capital expenditures from funds generated internally and additional working capital needs.

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CONSOLIDATED PUBLISHERS, INC.

Company Deal	issue of \$4,300,000 10-year collateral trust 6 3/4% sinking fund gold notes
Transaction Type	Sinking Fund Gold Notes
Deal Description	Consolidated Publishers, Inc., used the net proceeds from this transaction in the acquisition of all the issued and outstanding shares of stock (except directors' qualifying shares) of the Toledo Blade Company.

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CONSOLIDATED RETAIL STORES, INC.

Company Deal	organization and sale of preferred stock
Transaction Type	Preferred Stock
Deal Description	Consolidated Retail Stores, Inc., issued this stock as part of its organization and capitalization plan.

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CONSOLIDATED RETAIL STORES, INC.

Company Deal	Consolidated Retail Stores, Inc.
Transaction Type	Common Stock
Deal Description	Consolidated Retail Stores, Inc., issued this stock as part of its organization and capitalization plan.

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CONSOLIDATED RETAIL STORES, INC.

Company Deal	organization and sale of preferred stock
Transaction Type	Preferred Stock
Deal Description	Consolidated Retail Stores, Inc., issued this stock as part of its organization and capitalization plan.

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CONSOLIDATED RETAIL STORES, INC.

Company Deal	Consolidated Retail Stores, Inc.
Transaction Type	Common Stock
Deal Description	Consolidated Retail Stores, Inc., issued this stock as part of its organization and capitalization plan.

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HASSLER MANUFACTURING CO., INC.

LIST OF DEALS

- 1926 Hassler Manufacturing Co., Inc., and Hassler Realty Company: organization

The Hassler Manufacturing Company was created in 1926 in order to acquire the assets and debt of Robert H. Hassler, Inc., an Indiana company that manufactured spring shocks, stabilizers, and shock absorbers for automobiles. As Hassler himself put it, "My interests have pyramided to the point that I am desirous of getting out of the manufacturing business." Hassler had been active in the early development of the automobile, working on Waverly Electric vehicles at the turn of the twentieth century. He was one of the founders of the Empire Automobile Company in 1909.

In the deal, Robert H. Hassler assigned his property, business, trademarks, and many patents to Hassler Manufacturing, an Indiana corporation. A list of the patents is included in the deal book; most of them deal with shock absorbers, suspensions, and springs for automobiles. Hassler also agreed not to create competing shock absorbers for the succeeding five years. Hassler also forgave a personal loan of \$150,000 he had made to Robert H. Hassler, Inc. In exchange, Hassler Manufacturing paid \$200,000 in loan debt owed by Robert H. Hassler, Inc., and acquired the company. In 1926 the total assets of Robert H. Hassler, Inc., were \$1.3 million, with \$380,000 in liabilities (including \$200,000 in bank loans and \$150,000 owed to Robert H. Hassler).

Also in 1926 the board members of Hassler Manufacturing created the Hassler Realty Company. Hassler Realty was organized as an Indiana corporation designed to acquire and rent out property in Marion County, Indiana. Hassler Realty issued 7,500 shares of no par value common stock and 1,500 shares of \$100 par value preferred stock to raise money for its investments. Hassler Realty immediately leased its property to Hassler Manufacturing.

At the time of its creation, Hassler Manufacturing held \$918,000 in assets and \$27,000 in liabilities. These net assets were divided between Hassler Manufacturing, with \$741,000, and Hassler Realty, with \$150,000.

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HASSLER MANUFACTURING CO., INC.

Company Deal	Hassler Manufacturing Co., Inc., and Hassler Realty Company: organization
Transaction Type	Cumulative First Preferred Tax Exempt Stock
Deal Description	Hassler Manufacturing, Co., Inc., issued cumulative first preferred tax exempt stock in this transaction.

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LEONHARD TIETZ AKTIENGESELLSCHAFT

LIST OF DEALS

- 1926 Leonhard Tietz Aktiengesellschaft (Leonard Tietz Incorporated): \$3,000,000 20-year 7 1/2% mortgage gold bonds (with stock purchase warrants)

Leonhard Tietz Aktien-Gesellschaft (Leonhard Tietz) was founded in Germany in 1879. It was a pioneer in the department store business in Germany and by the mid-1920s it was one of the largest retail organizations in Europe. In 1926 it had a chain of nineteen modern department stores that were the largest in their respective cities throughout Germany. The most important store was located in Cologne, where the company headquarters were located. The company occupied a prominent position in the retail field in Germany, not only due to its size and sales volume but also due to its unique organization and merchandizing methods.

In 1924 Leonhard Tietz earned \$1.52 million and held assets valued at over \$16 million.

In January 1926 Leonhard Tietz sold \$3 million worth of twenty-year, 7½ percent mortgage gold bonds in a deal managed by Lehman Brothers.

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LEONHARD TIETZ AKTIENGESELLSCHAFT

Company	Leonhard Tietz Aktiengesellschaft (Leonard Tietz Incorporated): \$3,000,000
Deal	20-year 7 1/2% mortgage gold bonds (with stock purchase warrants)
Transaction	Mortgage Gold Bonds
Type	
Deal	Leonhard Tietz Aktiengesellschaft used the net proceeds from this transaction to increase its working capital and to expand its business. The company wished to extend its lines of merchandise and to make certain improvements in its buildings, which were hoped to prove advantageous in increasing its volume of sales.
Description	

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R. H. MACY & CO., INC.

LIST OF DEALS

- 1926 redemption of 7% cumulative preferred stock; issue of 5 1/4% serial gold debenture bonds

R. H. Macy & Co. was founded by Rowland H. Macy in Manhattan in 1858. During its first year of business, the store sold approximately \$85,000 worth of merchandise. Macy instituted a cash-only policy for customers, and no inventory was purchased with credit. This was unusual in a time when most stores routinely sold on credit.

By 1870, when sales broke \$1 million, the store carried not only dry goods, but items like men's hosiery and ties, linens and towels, fancy imported goods, costume jewelry, silver, and clocks. When R. H. Macy died in 1877, his nephew, Robert M. Valentine, and a store salesman, Abiel T. LaForge, were promoted to the company's leadership. Valentine later bought LaForge's share and brought in Charles Webster to join him at the company's helm. After Valentine's death, Webster approached the Straus family, who for thirteen years had leased space in Macy's to operate a chinaware department, the store's most profitable section. The Strauses accepted Webster's offer and joined him as partners. The Straus brothers introduced their odd-price policy, now used virtually everywhere in U.S. retailing. Charging \$4.98 instead of \$5.00, the store motivated customers to buy in quantity in order to accumulate substantial savings. The Strauses also brought in line after line of new merchandise: Oriental rugs, ornate furniture, lavish stationary, new-style bicycles, and pianos. They also instituted the store's depositor's accounts, in which shoppers could make deposits with the store and then charge purchases against them. This plan was a forerunner of installment buying and layaway plans.

In 1902 the store relocated to its Herald Square location at 34th Street and Broadway. The new store was equipped with newly designed escalators, pneumatic tubes to move cash or messages, and an air exhaust system that provided the store with a constant supply of fresh air. Macy's spacious building had ample fitting rooms, accommodation desks, an information counter, and comfortable rest rooms. Within a year of the move, sales reached \$11 million.

As it did with most of its products, Macy's sold books at substantially below their wholesale price—25 percent below. In 1909 a book publishers' association sued Macy's, charging that the price-cutting hurt their copyright value. The Strauses countersued, claiming that the group constituted an illegal trust under the Sherman Antitrust Act. The publishers responded by cutting Macy's off completely. The Strauses, however, obtained stock through other channels. The U.S. Supreme Court decided in Macy's favor in 1913, but the controversy made it even more difficult for the store to acquire well-known brands in any product line, prompting Macy's to develop its own private labels.

Sales were up to \$36 million when World War I ended in 1918. The company began its expansion into other cities, acquiring substantial interests in LaSalles & Koch Co. in Toledo, Ohio, in 1923 and Davison-Paxon-Stokes Co. in Atlanta, Georgia, in 1925. In the 1920s Macy's began the tradition of sponsoring New York City's Thanksgiving Day parade. Two major television networks began to cover the parade in 1952.

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R. H. MACY & CO., INC.

Company Deal redemption of 7% cumulative preferred stock; issue of 5 1/4% serial gold debenture bonds

Transaction Type Serial Gold Debentures Bonds

Deal Description R. H. Macy & Co., Inc., used the proceeds from this transaction to redeem the \$8,800,000 par value 7% cumulative preferred stock. The balance of cash necessary for this purpose was supplied by the company out of its accumulated earnings.

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SCHULCO COMPANY, INC.

LIST OF DEALS

- [1926 guaranteed 6 1/2% mortgage sinking fund gold bonds](#)
- [1926 guaranteed 6 1/2% mortgage sinking fund gold bonds issue B](#)

Schulco Company was incorporated in New York on June 14, 1926. Organized to be a general real estate business, it was created by the Schulte Retail Stores Corporation to acquire thirteen parcels of real estate located in greater New York. The most important properties were the twelve-story Longacre Building, located at 42 nd Street and Broadway, and the twenty-three-story building at the northwest corner of 38 th Street and Eighth Avenue. All properties were leased for thirty-five years, ending in 1961. The properties were leased to both Schulte Real Stores Corporation and D.A. Schulte.

Shortly after Schulco Company was formed, Lehman Brothers and Redmond & Company managed a public offering of \$3.5 million 6 1/2 percent mortgage bonds with a twenty-year maturity date. The proceeds were used to purchase the thirteen properties.

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SCHULCO COMPANY, INC.

Company Deal	guaranteed 6 1/2% mortgage sinking fund gold bonds
Transaction Type	Mortgage Sinking Fund Gold Bonds
Deal Description	Schulco Company, Inc., used the proceeds from this transaction to acquire thirteen new properties. Nine of the properties were located in Manhattan, three in Brooklyn, and one in the Bronx.

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SCHULCO COMPANY, INC.

Company Deal guaranteed 6 1/2% mortgage sinking fund gold bonds issue B

Transaction Type Mortgage Sinking Fund Gold Bonds

Deal Description Schulco Company, Inc., used the proceeds from this transaction to acquire twelve new properties. Six of the new properties were located in New York City, three others elsewhere in New York State, and the remaining three in other states.

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SCHULCO COMPANY, INC.

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SCHULCO COMPANY, INC.

- Company Deal** guaranteed 6 1/2% mortgage sinking fund gold bonds
- Transaction Type** Mortgage Sinking Fund Gold Bonds
- Deal Description** Schulco Company, Inc., used the proceeds from this transaction to acquire thirteen new properties. Nine of the properties were located in Manhattan, three in Brooklyn, and one in the Bronx.
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SCHULCO COMPANY, INC.

Company Deal	guaranteed 6 1/2% mortgage sinking fund gold bonds issue B
Transaction Type	Mortgage Sinking Fund Gold Bonds
Deal Description	Schulco Company, Inc., used the proceeds from this transaction to acquire twelve new properties. Six of the new properties were located in New York City, three others elsewhere in New York State, and the remaining three in other states.

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ABRAHAM & STRAUS, INC.

- Company Deal** 15-year 5 1/2% gold debentures with stock purchase warrants due October 1, 1943
- Transaction Type** gold debentures (with stock purchase warrants)
- Deal Description** The proceeds from the issue of debentures for Abraham & Strauss were to be used to defray the cost of a new, modern store building, the first unit of eight stores proposed to be built to meet expanding business needs. The first unit of eight stories was planned to begin on January 1, 1929.

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AMERICAN STORES CO.

Company Deal American Stores Company

Transaction Type Common Stock

Deal Description American Stores Company used the proceeds from this transaction as part of its capitalization program.

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APPONAUG CO.

LIST OF DEALS

- 1928 Apponaug Company: sale of preferred and common stock

The Apponaug Company was created in the 1860s and in the first few decades was engaged in the bleaching, dyeing, and printing of staple cotton fabrics. In 1913 the company employed 450 people and became incorporated in Massachusetts. Shortly thereafter, Apponaug began developing finishing processes for fine textiles instead of staple fabrics because this market was found to be more profitable. By the 1920s Apponaug was engaged in bleaching, mercerizing, dyeing, printing, and finishing a wide variety of textiles, including the finer grades of cotton, rayon, Celanese, and mixed fabrics. The business was done entirely on order for the account of mills and converters. It did not carry its own inventory of fabrics.

The company had a plant located at Apponaug, near Providence, Rhode Island, with floor space of about 326,900 square feet. During the four-year period from 1925 through 1928, output averaged more than 30,000,000 yards annually.

In 1928 the company earned a net profit of \$638,369, up from \$587,570 the previous year, and employed 597.

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APPONAUG CO.

Company Deal Apponaug Company: sale of preferred and common stock

Transaction Type Preferred Stock / Common Stock

Deal Description The Apponaug Company issued preferred and common stock in this transaction. No specific purpose for the proceeds was given at the time.

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ARNOLD CONSTABLE CORP.

LIST OF DEALS

- 1928 Arnold Constable Corporation: capital stock underwriting

Aaron Arnold, an immigrant from the Isle of Wight who became a well-known Manhattan merchant, started the first Constable store in 1825 in New York City's lower Manhattan, at Canal and Mercer Streets. Prior to that time, Arnold had been associated with James A. Hearn. The Arnold store obtained the second half of its name when an English lace salesman, James Constable, called on Mr. Arnold with his wares. Mr. James M. Constable married Mr. Arnold's daughter and became a partner in 1837. In 1868 the store was moved to Broadway and Nineteenth Street, the company leading in taking up quarters in the then-new shopping district.

The next change occurred in 1911, when Edwin H. Weatherbee, son-in-law of James M. Constable, succeeded to the entire business through the retirement of Walter C. M. Constable and Alfred G. Evans, who had become members of the firm. On February 11 of the following year, Mr. Weatherbee died after less than a week's illness of stroke of apoplexy that attacked him while he was attending the opera at the Metropolitan Opera House. His son, Hicks Arnold Weatherbee, took over as president of the company.

There were various changes in the firm until the company incorporated in June 1914, with a capital of \$2.5 million, with Hicks Arnold Weatherbee as president.

In 1914 the site of Frederick W. Vanderbilt's former home was leased by the company and preparations began on a new building. The cost of the plant was estimated in the neighborhood of \$1 million. The company opened their store on the southeast corner of Fifth Avenue and Fortieth Street on November 8, 1915. The doors were unlocked by little Miss Reid, a great-great-granddaughter of founder Aaron Arnold.

During the nineteen twenties, the street in front of Constable's was frequently the scene of limousines and chauffeurs waiting for affluent women of the period to make their purchases.

The new management of Arnold Constable Corporation showed the extent of its efforts in 1927 when it was the first year that there were no adjustments to make following the consolidation of the Stewart and Arnold stores with the new management in control. Management had been able to turn deficits into profits in a comparatively short time. Net profit was nearly doubled and there was a substantial increase in sales. Sales totaled over 13.5 million dollars for the twelve months ending January 31, 1928, compared with 11.5 million dollars the previous fiscal year. Net profits for the twelve months aggregated \$708,862 after depreciation. The company's common stock sold at around 50, compared to its 1925 range that had been between 41 and 51

1/4.

The company showed its ample hold on inventories with a total of 1.28 million compared with 1.18 million the previous year, despite the large increase in business. The ability of the Arnold management to turn its inventories rapidly was a feature of its success. The company was constantly adding new accounts to its books, with some 25,000 added between 1926 and 1927. While the management departed from many of the selling methods of the old Arnold management, it maintained its old clients. Some of the customers that were on the books in the twenties had been there for decades. The new building going up adjoining the store would double its capacity for stock. Thus the store was to offer growing competition to the largest stores on Fifth Avenue.

Arnold Constable was to become one of New York's oldest specialty stores, lasting 150 years in business, and a half-century on Fifth Avenue.

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ARNOLD CONSTABLE CORP.

Company Deal Arnold Constable Corporation: capital stock underwriting

Transaction Type Capital Stock

Deal Description Arnold Constable Corporation used the proceeds from this transaction to meet financial requirements for a plan for the extension and enlargement of the business of M. I. Stewart & Company, Inc., of which the company owns all of the issued and outstanding capital stock. The plan involved the purchase of property at the northeasterly corner of 56th Street and Fifth Avenue, in Manhattan, New York City, the erection of a new building thereon to be furnished and equipped as a department store, and for general corporate purposes.

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ASSOCIATED RAYON CORP.

LIST OF DEALS

- 1928 [Associated Rayon Corporation: organization stock issue](#)
- 1931 [Associated Rayon Corporation: reorganization issue of 20-year 5% guaranteed convertible debentures due 1950](#)

Associated Rayon Corporation was incorporated in Maryland in November 1928 to acquire securities of U.S. and foreign companies in the rayon and allied industries. With the proceeds of the initial public offering of common stock in 1928, Associated Rayon spent approximately \$5 million and paid an additional 1.2 million shares to Vereinigte Glanzstoff-Fabriken A.G. to acquire a substantial interest in the following companies: Vereinigte Glanzstoff-Fabriken, A.G.; J.P. Bemberg, A.G., Germany; Erste Oesterreichische Glanzstoff-Fabrik, A.G., Austria; Societa Nazionale Industria Applicazioni Viscosa, Italy; Asahi Bemberg Kenshi K.K., Japan; Algemeene Kunstzijde Unie N.V., Netherlands; American Bemberg Corporation, Johnson City, Tennessee; American Glanzstoff Corporation, Elizabethton, Tennessee; and American Enka Corporation, Asheville, North Carolina.

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ASSOCIATED RAYON CORP.

Company Deal Associated Rayon Corporation: organization stock issue

Transaction Type Cumulative Convertible Preferred Stock

Deal Description Associated Rayon Corporation used the proceeds from this transaction as part of its capitalization program.

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ASSOCIATED RAYON CORP.

Company Deal Associated Rayon Corporation: reorganization issue of 20-year 5% guaranteed convertible debentures due 1950

Transaction Type Guaranteed Convertible Debentures

Deal Description Associated Rayon Corporation issued these convertible debentures as part of its reorganization program.

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DUPLAN SILK CORP.

LIST OF DEALS

- 1928 Duplan Silk Corporation: sale of preferred and common stock

Jean Leopold Duplan, a French businessman, founded Duplan Silk Company in New York in 1898 as an extension of his silk weaving plant in Lyons, France. The 1897 American tariff spurred Duplan to supply the American silk market with domestically made cloth. Duplan and six other investors funded a small mechanical mill in South Bethlehem, Pennsylvania, which shortly afterward was relocated to a new building in Hazleton, Pennsylvania. By 1901 the company turned a profit. It was incorporated as the Duplan Silk Corporation in Delaware in 1917.

Jean Duplan constantly sought innovations in silk manufacture. He shifted the plant away from dyeing individual yarns to "piece dyeing" the completed woven cloth. By delaying dyeing, Duplan Silk could sell the most current styles and colors of silk without building up an overstock of unfashionable material. Duplan Silk also sold the undyed "grey" silk. The staff developed new types of looms that allowed fancy high-twist weaves and crepes.

Duplan Silk began producing artificial silk (now known as rayon) as early as 1911. The lustrous artificial silk was spun from cellulose and a gelatin extracted from seaweed. Duplan himself was quite secretive about the artificial silk production process, keeping the looms in a separate, boarded section of the mill. To curious visitors, he explained his secrecy by claiming, "In there are skilled Mohammedan women who work without veils, so no men are allowed" (*These Fifty Years*, 10). Eventually, Duplan Silk produced silk velvets, formulated its own dyes, and printed fabrics in its own mill.

Jean Duplan sold his controlling interest in the company to the other directors in 1921. Paul C. Debry became Duplan Silk president in 1923, and in 1928 Lehman Brothers (along with Field, Gloré & Company and George H. Burr & Company) brokered the deal in which Jean Duplan sold his remaining holdings and brought the corporation to public ownership. In a complex agreement, Jean Duplan sold the remainder of his common stock (26,811 shares at \$20 each plus accrued dividends) and preferred stock (12,838 shares at \$115 each plus accrued dividends) holdings back to the corporation. Lehman Brothers then issued 20,000 shares of 8 percent cumulative preferred stock at \$100 par value per share (worth \$2 million total) and 75,000 shares of common stock at \$24 per share with no par value.

At the time that Duplan Silk Corporation went public, it operated plants at Hazleton, Kingston, Wilkes-Barre, Nanticoke, and Dorranceton, Pennsylvania. The Hazleton plant had 600,000 square feet of floor space, with 450,000 additional square feet at the other plants. The Hazleton

plant alone held 1,675 looms and 144,000 spindles. In 1928 the corporation maintained offices in Paris, London, Lyons, New York City, Chicago, Los Angeles, Providence, and Charlotte. It supported its 5,000 employees with several vocational schools and a Girls' Club House at Hazleton designed for recreation and personal betterment. Profits in 1927 were \$1.35 million, with net tangible assets of \$14.5 million.

After Duplan Silk became a public company, it continued to produce silk and rayon, and later nylon. It survived the Great Depression under Paul Debry (president until 1937) and Ernest C. Geier, but closed the Hazleton plant in 1953.

Note: There are a few books of interest regarding Duplan: *These Fifty Years: The Duplan Corporation, 1898-1948* (New York: Duplan, 1948); *The House of Duplan: Twenty Years of Development, 1898-1918: Not by Inheritance, But by Thrift and Application* (New York: Duplan, 1918).

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DUPLAN SILK CORP.

Company Deal Duplan Silk Corporation: sale of preferred and common stock

Transaction Type Preferred Stock / Common Stock

Deal Description Duplan Silk Corporation issued preferred and common stock in this deal. No specific purpose for the proceeds was listed.

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FAIRCHILD AVIATION CORPORATION

LIST OF DEALS

- 1928 stock issue

Fairchild Camera & Instrument Corporation was incorporated in Delaware in 1927 as the Fairchild Aviation Corporation. Fairchild Aviation was formed as a holding company to bring together a group of seven aircraft businesses that were the outgrowth of Fairchild Aerial Camera Corporation, which was incorporated in 1920. As a result of this merger, Fairchild Aviation became the second-largest manufacturer of commercial airplanes and the fourth-largest aviation organization in the United States.

One of the better known companies involved in this merger was Fairchild Aerial Camera. Fairchild manufactured aerial cameras for military and commercial aerial mapping that were used in Russia, Poland, and throughout South America. They were the official cameras of the United States Army and Navy Air Services.

During the 1930s and 1940s the company continued to reorganize. It created the Fairchild Engine and Airplane Corporation in 1936 to hold its aircraft and engine businesses as well as its interests in Canada. In 1943 Fairchild sold Taylorcraft Aviation Corporation, and in 1944 Fairchild changed the company name from Fairchild Aviation to Fairchild Camera and Instrument Company.

The period during World War II was a busy time for Fairchild, as the demand for many of its products were used in the war effort. The product line expanded to include machine gun cameras, x-ray cameras, radar cameras, gun synchronizers, and radio compasses. In 1941 the company had a backlog of \$22.8 million in government order, the bulk of which was for aerial photography equipment. The number of employees also grew from 400 in 1940 to 580 in 1941 and 650 in 1942.

In the post World War II years, military sales still represented a large portion of Fairchild's earnings and revenue. In 1947, approximately 67 percent of company revenues were derived from the sale of C-82 Packet cargo and troop-carrying airplanes and spare parts under contract with the U.S. Air Force.

The company also began to develop products for the commercial sector such as manufacturing x-ray equipment. In 1948, Fairchild announced that it had gone into limited production of the Fairchild Lithotype, which was described as "a revolutionary electrically driven machine that types standard printers' type in a great variety of faces and sizes." This product could be used by newspaper and other publishers.

Fairchild attained the highest earnings in its history with net income in 1950 of \$3,094,768 on sales of \$59.9 million, as compared to 1949 when it earned \$1,575,328 on sales of \$48.1 million.

During the 1950s, Fairchild invested heavily in research and development. In 1958 alone, R&D expense amounted to \$1.5 million, a 3-fold increase from the previous year. The result of this investment in research was the development of new products that ranged from devices combining radar and photography for training pilots to automatic corrected color engraving machines. In 1958 it developed high-speed processing equipment for motion pictures that could develop 500 feet of film almost instantly. During this period it also established Fairchild Semi-Conductors Corporation, a West Coast subsidiary that made transistors and similar components.

Fairchild sales exceeded the \$100 million level in 1961, and the company began a decade of acquiring new companies and investing a large part of its earnings into the development of new products.

In 1960 Fairchild merged with Allan B. DuMont Laboratories and acquired a one-third interest in Societa Generate Semiconduttori, S.p.a., and Italian semiconductor producer that gave Fairchild access to European markets. It acquired the printing press business and other assets of Waste King Corporation of Los Angeles in 1961. In May 1961 it also added Circle Weld Manufacturing Corporation, producers of heat exchangers, ducts, flexible joints, sensors, and other similar products, as well as Curtis Laboratories, designer and manufacturer of precision optical and photographic equipment.

Fairchild added seven more companies in 1962: Cosmic Corporation of El Cajon, California; the Addressing Machine division of Dashew Machines of Los Angeles; Di-Tran Corporation of Los Angeles; the Central Electronic Manufacturers division of Nuclear Corporation of America; two Davidson Company divisions of Mergenthaler Linotype Company; and Winston Research Company of Los Angeles.

It purchased Electro Sensative Products of Amsterdam, New York in 1964, and in 1965 Fairchild acquired White Avionics of Plainview, New York. In 1967 Fairchild added Pro-Tech, producers of water quality monitoring equipment and acquired substantially all of the assets of World Magnetics of Michigan, makers of magnetic heads for electronic reading of printed magnetic ink characters.

In 1970 Fairchild acquired Inland Manufacturing Inc., Inland Molding Inc., and Inland Machine Inc., Walnut, California producers of precision molding equipment. Fairchild had sales of \$193.1 million by 1972, however it lost of \$7.8 million. It had lost \$32.6 million in the previous year as well.

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FAIRCHILD AVIATION CORPORATION

Company Deal stock issue

Transaction Type Class A Stock

Deal Description Fairchild Aviation Corporation issued class A stock in this transaction. No specific purpose for the proceeds was given at the time.

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HELENA RUBINSTEIN, INC.

LIST OF DEALS

- 1928 purchase of preferred and common stock
- 1969 acquisition of shares of Helena Rubinstein Eastern Hemisphere Companies

Helena Rubinstein (1870-1965), a cosmopolitan émigré who spent her youth in Poland and Australia, established a cosmetics dynasty based on her cold creams and spa treatments. Her company bore her name. Rubinstein was the eldest of eight daughters born to a merchant Jewish family in Krakow. While still a teenager, she opened her first salon in Melbourne, Australia, at the turn of the twentieth century.

Her success stemmed only partially from her cosmetics, which she developed in laboratories to suit women's varied skin types. Her innovation was to stress a specific beauty regimen, customized for individuals, with cosmetic application techniques, visits to salons, and a holistic approach to making women beautiful and attractive. Rubinstein also pioneered makeup for everyday wear, instead of only on the stage. Her glamorous appearance was itself an advertisement, since she advocated a lifestyle as well as a product. Indeed, in her autobiography she wrote, "There is no denying that the beauty business is made up of part theater, part glamour" (*My Life for Beauty*, 59).

Rubinstein expanded her operation to London in 1908 and subsequently opened salons throughout Australia, Europe, and North and South America. She enlisted her sisters to run her salons and business throughout the world.

Rubinstein designed beauty products to be used in planned regimens; she explained that this would maintain women's appearances and make them feel better about themselves. She developed treatments for skin and hair, for use in the bath or afterward, and for everyday and special-occasion use. Her first product, a cold cream called Crème Valaze, was soon followed by many others. Rubinstein worked on new products in her "kitchen," in truth an experimental laboratory. She employed an army of workers trained in administering beauty treatments, recommending makeup and products, and encouraging the clientele.

Rubinstein's appealing products and shrewd marketing brought success to her company. She mixed fantasy and practicality in her products, building on women's aspirations and treating their shortcomings. Rubinstein made her business personal in many ways, by stressing its family ownership and operation and by emphasizing her own personal appearance and life to her customers. Her marriage to Prince Artchil Gourielli, for example, added to her glamour and to her products' marketability. After Rubinstein's death in 1965, her company continued under family stewardship. Colgate purchased the company for \$125 million in 1973. It was later

acquired by L'Oréal.

Rubinstein wrote an autobiography, *My Life for Beauty*, in 1964. Other books analyze her beauty empire, notably Lindy Woodhead's *War Paint: Madame Helena Rubinstein and Miss Elizabeth Arden* (2003) and Kathy Lee Peiss's *Hope in a Jar: The Making of America's Beauty Culture* (1999).

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HELENA RUBINSTEIN, INC.

Company Deal purchase of preferred and common stock

Transaction Type Convertible Preference Stock / Common Stock

Deal Description Helena Rubinstein, Inc., used the proceeds from this transaction as part of its capitalization program.

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HELENA RUBINSTEIN, INC.

Company Deal	acquisition of shares of Helena Rubinstein Eastern Hemisphere Companies
Transaction Type	Common Stock / Capital Shares / Ordinary Shares
Deal Description	Helena Rubinstein, Inc., acquired all shares of Helena Rubinstein Eastern Hemisphere Companies.

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INTERSTATE DEPARTMENT STORES, INC.

LIST OF DEALS

- 1928 Interstate Department Stores: 7% cumulative preferred stock with common stock warrants
- 1935 Interstate Department Stores, Inc.
- 1937 common stock offering to stockholders
- 1961 \$5,859,400 4 5/8% conv. sub. deb. due 1981 convertible into common stock
- 1964 offering of 200,000 shares common stock
- 1969 offering of 500,000 shares of common stock

Interstate Department Stores was incorporated in Delaware on February 14, 1928, to acquire the capital stock of twenty-two companies operating twenty-three department stores in the states of Illinois, Michigan, Indiana, New York, Ohio, Wisconsin, Kentucky, and West Virginia.

Interstate acquired the Aurora Dry Goods Company of Aurora, Illinois, in October 1929. Interstate earned \$1.1 million from sales of \$25.5 million in 1929. During the 1930s Interstate sales and earnings fluctuated from year to year, but gradually rose. Sales were \$23.9 million in 1936, followed by an increase to \$28 million in 1937 and then a decline to \$26.9 million in 1938.

In January 1944 Interstate announced that it had arranged for \$8 million of private financing for store expansion and to retire the outstanding preferred stock.

Even though the post-World War II period was a time of prosperity for the United States, Interstate did not benefit significantly. The company earned \$1.4 million from sales of \$62.8 million in 1948, and in 1957 profits were actually lower at \$1.3 million on sales of \$67.2 million. It was not until Interstate began an aggressive acquisition program in the late 1950s that the company began to grow once again.

Interstate operated forty-eight stores in fifteen states in late 1958, selling low- and medium-price merchandise. In April 1959 Interstate acquired the entire stock of White Front Stores, Inc., of Los Angeles for 16,393 shares and \$600,000. White Front was a two-unit, low-mark-up operation, with volume of more than \$20 million per year. This acquisition was of great help to Interstate, providing the company with record sales of \$85 million in 1960, up from \$65.6 million in fiscal 1959.

The company acquired the entire stock of Topps Stores in September 1960 for 16,000 shares and Maddi-Lou Trust for 4,000 shares. Topps was a privately owned, ten-store discount retail chain with stores in New York, Connecticut, Massachusetts, Pennsylvania, and Illinois.

Interstate entered food retailing in 1962, creating twenty new discount stores, seven of which sold grocery items. Each store averaged about 20,000 square feet in space, and they were spread out over eleven states.

In 1966 Interstate bought Children's Supermart, Inc., a Washington, D.C. area chain store consisting of four discount toy stores. In March 1969 it acquired Children's Bargain Town, Inc., an eight-store discount toy chain with annual sales of approximately \$17 million. At the same time, it also purchased Steel City Department Stores, Inc., for \$15 million.

Through its subsidiaries, Interstate operated 139 retail stores in 115 cities in the United States by 1969. Sales for the company grew from \$115 million for the fiscal year ending January 31, 1961, to \$641 million by 1969.

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INTERSTATE DEPARTMENT STORES, INC.

Company Deal Interstate Department Stores: 7% cumulative preferred stock with common stock warrants

Transaction Type Cumulative Preferred Stock / Common Stock

Deal Description Interstate Department Stores issued the preferred and common stock in this transaction as part of its capitalization plan.

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INTERSTATE DEPARTMENT STORES, INC.

Company Deal Interstate Department Stores, Inc.

Transaction Type Common Stock

Deal Description Interstate Department Stores, Inc., issued common stock in this transaction. No specific purpose for the proceeds was given at the time of the deal.

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INTERSTATE DEPARTMENT STORES, INC.

Company Deal common stock offering to stockholders

Transaction Type Common Stock

Deal Description Interstate Department Stores, Inc., expected to lend all or a part of the net proceeds from this transaction to Interstate Stores Payment Corporation, a subsidiary, to enable such subsidiary to discharge all or part of the bank loans contracted by it since January 31, 1937. Such loans were incurred to permit Interstate Stores Payment Corporation to discount accounts payable of other subsidiaries of the corporation and to enable them to carry additional current assets necessitated by the increase in the volume of business and increased cost of merchandise.

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INTERSTATE DEPARTMENT STORES, INC.

Company Deal \$5,859,400 4 5/8% conv. sub. deb. due 1981 convertible into common stock

Transaction Type Convertible Subordinated Debentures

Deal Description Interstate Department Stores, Inc., used the net proceeds from this transaction in connection with the expansion of its business. A portion of the proceeds was used to repay the short-term bank loans of the company, incurred primarily in connection with the opening of additional discount department stores. An additional portion of the proceeds was used in connection with the opening of such stores. Another portion was expended for the enlargement and modernization of its general department stores. The balance of the funds was added to working capital and was used for general corporate purposes.

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INTERSTATE DEPARTMENT STORES, INC.

Company Deal offering of 200,000 shares common stock

Transaction Type Common Stock

Deal Description Interstate Department Stores, Inc., used the net proceeds from this transaction in connection with the expansion of its business. The company opened seven discount stores during 1963, one in 1964, and expected to open twelve additional discount department stores prior to November 1965.

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INTERSTATE DEPARTMENT STORES, INC.

Company Deal offering of 500,000 shares of common stock

Transaction Type Common Stock

Deal Description Interstate Department Stores, Inc., used the net proceeds from this transaction in connection with its expansion program. A portion of the proceeds was used to repay bank borrowings, which were incurred in March 1969 to provide funds for the acquisition of the stock of Steel City Department Stores, Inc., and affiliated corporations. These companies operated eight Children's Bargaintown, U.S.A. toy supermarts. The balance of the proceeds was added to the company's general funds and was made available for the purchase of inventories and fixtures for the company's proposed new stores.

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JOSEPH HORNE CO.

Company Deal	common stock
Transaction Type	Common Stock
Deal Description	Joseph Horne Co. used the proceeds from this transaction as part of its capitalization program. The company was a new company, formed by the merger of Joseph Horne Company and Joseph Horne Land Company.

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KEITH-ALBEE-ORPHEUM CORPORATION

LIST OF DEALS

- 1928 organization and issue of capital stock

The 1920s were years of much technological change and product innovation, which had an impact on many industries including broadcasting, motion picture production, and the theatre industry. The RCA Corporation played a large role in all three of these industries during these years. By the mid-1920s RCA had already established itself as a major player in radio broadcasting, and in 1926 it formed the National Broadcasting Company to control the radio stations owned by RCA.

In 1927 RCA's parent company, General Electric, developed a system of recording sound on film called RCA Photophone. This new technology, which was considered superior to an existing system called Vitaphone, was viewed by RCA as a way in which the company could expand into the talking-picture business. Unfortunately, however, RCA was a late entry into the field.

The Vitaphone system had been developed by a Western Electric subsidiary, Electrical Research Products, Inc. (ERPI). Warner Brothers entered into an exclusive agreement with Western Electric in 1925 to produce talking pictures using the Vitaphone system. In 1926 several films using the Vitaphone musical sound tracks were produced. In October 1927 Warner released the first full-length sound film, *The Jazz Singer*, using the Vitaphone. This film created a national sensation and marked the beginning of the end for silent movies.

By the time RCA was ready to introduce the Photophone (which was not compatible with Vitaphone), the ERPI-Vitaphone system already enjoyed a near-monopoly position. In addition to retaining its original agreement with Warner Brothers, ERPI had signed up the "Big Five" motion picture companies: MGM, United Artists, Paramount, Universal, and First National Pictures. It had also begun to wire many American theatres for this system.

Faced with such a large obstacle, RCA concluded that it had little chance of winning away business from ERPI. The company decided that the only way to enter this industry and create a market for the RCA Photophone was to acquire an interest in a motion picture studio, which would then be joined with a theater chain.

RCA began the process of entering the motion picture business in October 1927 with the assistance of Joseph P. Kennedy by first purchasing a \$400,000 interest in the Kennedy-controlled Film Booking Office of America (FBO).

Shortly afterwards, in January 1928, Kennedy organized a new company called the Keith-Albee-

Orpheum Corporation. This new corporation would be formed from merging (1) the B.F. Keith Corporation, (2) the Greater New York Vaudeville Theatres Corporation, and (3) the Vaudeville Collection Agency as well as controlling interests in the B.F. Keith-Albee Vaudeville Exchange and the Orpheum Circuit, Inc. The merger as described in the KAO documents would be "a chain of vaudeville theatres, both in the United States and Canada, extending from the Atlantic to the Pacific coasts, and also a single booking office to book their own as well as independent theatres."

Finally, in October 1928, RCA achieved its aim of entering the motion picture industry by organizing the Radio-Keith-Orpheum Corporation. This new corporation was formed by the merger of FBO Productions and the Keith-Albee-Orpheum Corporation, which gave RCA both the film production company and national chain of theaters that it desired. In exchange for its Photophone patents and the equipment installed in approximately 200 theaters, RCA was given a 20 percent interest in RKO, which began business with assets of \$72 million.

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KEITH-ALBEE-ORPHEUM CORPORATION

Company Deal organization and issue of capital stock

Transaction Type Cumulative Convertible Preferred Stock / Common Stock

Deal Description Keith-Albee-Orpheum Corporation used the proceeds from this transaction as part of its capitalization program.

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NEW YORK & FOREIGN INVESTING CORP.

LIST OF DEALS

- 1928 New York & Foreign Investing Corporation: organization; Leonhard Tietz, A. G. Loan Lindemann & Co., A. G. Loan issue of debentures with warrants attached

Dutch, German, Swiss, and American businessmen formed the New York & Foreign Investing Corporation in 1928 in Maryland. The company was designed to make investments in securities and to provide financing for businesses. A 1928 issue of *Barron's* described the company as part of a trend among American and European banks and companies to create trusts in Germany and the Netherlands in order to make investments in Germany and Europe.

Immediately after its founding, New York & Foreign Investing issued over \$5 million in preferred and common stock to provide capital for the new business.

One of the company's early projects involved issuing a mortgage loan of \$3.5 million to Leonhard Tietz Aktiengesellschaft, a German corporation. Two other German corporations were involved in the mortgage deal as well: Handelsstätte Mauritius G.m.b.H. (a subsidiary of Leonhard Tietz Aktiengesellschaft) and Deutsche Treuhand-Gesellschaft. The deal book contains a list of the properties for which New York & Foreign Investing provided funding. Most of the land was in Germany, thus some of the deal book text is in German and Dutch.

The company made another mortgage loan to the Lindemann department store in Berlin in 1928. The company was also involved in a project to build a German version of the Galeries Lafayette department store in Berlin.

In 1928 the company issued \$6 million in debentures. Copies of the stock and debenture certificates are included in the deal book.

Little other information about New York & Foreign Investing is forthcoming. The company remained in operation at least through 1932.

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NEW YORK & FOREIGN INVESTING CORP.

Company New York & Foreign Investing Corporation: organization; Leonhard Tietz, A. G.
Deal Loan Lindemann & Co., A. G. Loan issue of debentures with warrants attached

Transaction Debentures
Type

Deal New York & Foreign Investing Corporation issued debentures in this
Description transaction. No specific purpose for the proceeds was given at the time.

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RADIO-KEITH-ORPHEUM CORPORATION

Company Deal organization

Transaction Type Capital Stock

Deal Description Radio Keith Orpheum issued capital stock in this transaction. No specific purpose for the proceeds was given at the time.

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RADIO-KEITH-ORPHEUM CORPORATION

Company Deal	420,000 shares of common stock (par value \$1 per share)
Transaction Type	Common Stock
Deal Description	Radio-Keith-Orpheum Corporation added the net proceeds from this transaction to its working capital.

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RADIO-KEITH-ORPHEUM CORPORATION

Company Deal	Radio-Keith-Orpheum Corp.: sale of 57,337 shares of 6% preferred stock
Transaction Type	Preferred Stock / Common Stock
Deal Description	Radio-Keith-Orpheum Corporation did not receive any portion of the proceeds from this transaction. All shares offered in this deal were sold by the selling stockholders.

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TISHMAN REALTY & CONSTRUCTION CO., INC.

LIST OF DEALS

- 1928 Tishman Realty & Construction Co., Inc.

Julius Tishman opened a dry goods store in Newburgh, New York, in 1890. In 1898, as eastern European immigrants inundated New York City, Tishman began building tenements on the Lower East Side. He named his business Julius Tishman & Sons.

By the 1920s the firm had moved uptown and upscale, building luxury apartment buildings, including the first luxury apartment building east of Park Avenue, in what was called a "slum country." In 1923 Tishman constructed the first apartment building north of 86th Street. During this decade, Tishman pioneered the use of electric refrigerators in apartment buildings. The firm went public on the New York Curb Exchange in 1928 as Tishman Realty & Construction, with the family retaining an ownership stake. Julius was chairman; his son David was CEO. The pitfalls of going public were soon obvious. The offering raised less than \$2 million, not enough to finance projects, and because the stock market favored profit generation over asset appreciation, the company was undervalued. When the Depression hit, David's involvement as a director of the Bank of the United States and the family's participation in bad loans made by the bank forced the firm to sell assets.

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TISHMAN REALTY & CONSTRUCTION CO., INC.

Company Deal	Tishman Realty & Construction Co., Inc.
Transaction Type	Capital Stock
Deal Description	Tishman Realty & Construction Co., Inc., issued capital stock as part of its program of capitalization.

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UNITED PIECE DYE WORKS

LIST OF DEALS

- 1928 issue of \$7,500,000 preferred stock 450,000 shares common stock

United Piece Dye Works was a company that engaged in dyeing, printing, and finishing silk, rayon celanese, and mixed fabrics. It also processed fabrics and dyed silk, rayon, celanese, and cotton in the skein. The company was incorporated in New Jersey in 1903 and was created when Alexander Dye Works and Boettger Piece Dye Works were combined. In 1912 United Piece Dye acquired the American Silk Dyeing & Finishing Company, and in 1923 it added the Weidmann Silk Dyeing Company and its subsidiaries, Lehigh Silk Dyeing and Service Land Company.

By the mid-1920s United Piece had six plants, two in Lodi, New Jersey, two in Patterson, New Jersey, and plants in Hawthorne, New Jersey, and Allentown, Pennsylvania. In January 1926 Italians and other European ethnic groups working in these industries engaged in a strike against United Piece and other companies to protest horrendous working conditions and wages. Labor historians refer to it as the Passaic Strike of 1926.

By 1928 United Piece was one of the largest privately owned companies in the United States, employing 6,000. In the previous five years, it averaged over \$2.5 million annually in earnings. The six plants were operating with an annual output of over 100 million yards of fabric-dyed or printed and over 2,500,000 pounds of yarns dyed in the skein.

In February 1928, United Piece went public with a deal managed by Lehman Brothers. The public offering consisted of a sale of \$7.5 million 6 1/2 percent preferred and 450,000 shares no par common stock.

In 1928 United Piece recorded earnings of \$3.8 million on sales of \$28.6 million, up from a net income of \$2.8 million in 1926.

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UNITED PIECE DYE WORKS

Company Deal	issue of \$7,500,000 preferred stock 450,000 shares common stock
Transaction Type	Cumulative Preferred Stock / Common Stock
Deal Description	The United Piece Dye Works issued 6 1/2% cumulative preferred stock and common stock in this transaction. No specific purpose for the proceeds was given at the time.

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VAN CAMP MILK COMPANY

LIST OF DEALS

- 1928 proceedings
- 1930 minute book, March 30, 1929, to September 8, 1930

The Van Camp Milk Company was incorporated in Indiana in 1928 to acquire eight evaporated milk packing and concentrating plants from the Van Camp Packing Company. This new corporation was owned and controlled by Van Camp Packing. The plants for the milk company were located in Angola, Indiana; Wauseon and Bryan, Ohio; Adrian and Homer, Michigan; and Sawyer, Casco, and Watertown, Wisconsin. The plants had a capacity in excess of two million cases of evaporated milk in 1928, and the entire output was sold through another Van Camp subsidiary, Van Camp Products Corporation.

In 1928 Van Camp Milk earned \$239,102, down from the \$266,172 it earned in 1926 as the milk division of Van Camp Packing. By 1930 Van Camp Milk employed 300 people and had over \$2.8 million in assets.

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VAN CAMP MILK COMPANY

Company Deal proceedings

Transaction Type Reorganization

Deal Description Van Camp Milk Company reorganized in this transaction.

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VAN CAMP MILK COMPANY

Company Deal minute book, March 30, 1929, to September 8, 1930

Transaction Type N/A

Deal Description This is a minute book, containing minutes of meetings held by Van Camp Milk Company from March 30, 1929 to September 8, 1930.

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W. T. GRANT COMPANY

Company Deal capital stock

Transaction Type Capital Stock

Deal Description W. T. Grant Company used the proceeds from this transaction in its plan for capitalization.

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W. T. GRANT COMPANY

Company Deal 320,000 shares common stock

Transaction Type Common Stock

Deal Description W. T. Grant Company added the net proceeds from this transaction to its general funds. The funds were used for additional inventory and other working capital requirements, including such requirements resulting from further store expansion.

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W. T. GRANT COMPANY

Company Deal \$35,000,000 4 3/4% sinking fund debentures due January 1, 1987

Transaction Type Sinking Fund Debentures

Deal Description W. T. Grant Company added the net proceeds from this transaction to its general funds. The funds were used for additional inventory and other working capital requirements, including such requirements resulting from further store expansion. The Company's expansion program was directed at that time principally to new shopping center stores so as to take advantage of the growth of the suburban market.

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W. T. GRANT COMPANY

Company Deal	\$35,000,000 4 % convertible subordinated debentures due June 1, 1990
Transaction Type	Convertible Subordinated Debentures
Deal Description	<p>W. T. Grant Company added the net proceeds from this transaction to its general funds, to be used for additional inventory and other working capital requirements, including such requirements resulting from further store expansion. During the previous five years, the company's expansion program was directed principally to new shopping center stores so as to take advantage of the growth of the suburban market. These stores were located, for the most part, in medium-sized centers, where the best opportunities for profitable operation existed.</p>

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A. STEIN & CO.

LIST OF DEALS

- 1929 A. Stein & Company: 6 1/2% cumulative preferred stock and common stock

A. Stein & Company was established in 1887 and incorporated in Illinois in February 1909. The company manufactured garters, suspenders, rubber sundries, and other products of elastic webbing under the trade names "Paris," "Ivory," and "Hickory." It originally only manufactured men's garters but gradually broadened its activities to include products for women and children. During the 1920s the company had a five-story plant with approximately 232,000 square feet.

In 1919 A. Stein established a Canadian subsidiary, A. Stein & Company, Ltd., with a factory in Toronto. In 1928 the company employed 1,515 and sales were \$971,785, up from \$518,334 in 1926. A. Stein acquired two companies that were sources of manufacturing material for the business in 1929.

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A. STEIN & CO.

Company Deal	A. Stein & Company: 6 1/2% cumulative preferred stock and common stock
Transaction Type	recapitalization and cumulative preferred and common stock offerings
Deal Description	A. Stein, through the revision of the capital structure of the company, offered shares of cumulative preferred stock and shares of common stock with the purpose of making it available to the public.

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AIR ASSOCIATES, INC.

LIST OF DEALS

- 1929 7% cumulative convertible preferred stock common stock

Air Associates was incorporated in July 1927 and marketed itself as the first company to provide complete servicing to airplane owners, manufacturing and distributing aeronautical and automotive materials and accessories. It also acted as the service dealer for manufacturers of Wright Aeronautical engines and held the eastern distributor franchises of Lockheed Aircraft Company and Whittelsey Avian Company.

The company started in early 1927 with nothing more than an empty hangar and did \$600 in business during the first month. By the end of the first year it was grossing \$15,000 per month.

Air Associates completed an agreement with United Aircraft Exports, Inc., in 1927, giving United Aircraft exclusive foreign rights to the sale of Air Associate's aircraft and automotive equipment and materials that covered over 500 items.

Air Service embarked on an ambitious expansion program in 1928, spending \$500,000 to expand the field station it operated at Curtis Field, Long Island, and to open facilities at municipal airports in Chicago and Newark.

The services and parts provided by Air Associates were used to help such well-known aviators as Amelia Earhart, Charles Lindbergh, and Armeno Lotti Jr. News accounts from the late 1920s often included a reference to the hangar of Air Associates at Curtis Field.

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AIR ASSOCIATES, INC.

Company Deal	7% cumulative convertible preferred stock common stock
Transaction Type	cumulative convertible preferred stock; common stock
Deal Description	The Board of Directors of Air Associates, Inc., deemed this stock offering to be advisable, and thus the stock offering was promoted because of the anticipated expansion of the corporation and the contemplated opening of new stations in Chicago, Newark, and elsewhere.

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ARCHER-DANIELS-MIDLAND CO.

LIST OF DEALS

- 1929 Archer-Daniels-Midland Company: acquisition of common stock of Werner G. Smith Co.; issue of additional common stock

John Daniels founded the Daniels Linseed Company in Minneapolis, Minnesota, in 1902. Prior to this venture, he had been crushing flaxseed to make linseed oil since 1878. George Archer, another flaxseed crusher, joined Daniels' company in 1903. A few years later, the company was renamed the Archer-Daniels Linseed Company. Archer and Daniels hired Samuel Mairs as a bookkeeper; he would eventually become the company's chairperson. In those early years, the company consisted of a flax-crushing plant that made three products: raw linseed oil, boiled linseed oil, and linseed cake or meal.

The company grew slowly; however, it never finished a year in debt. In 1923 Archer-Daniels Linseed bought the Midland Linseed Products Company and was then incorporated as the Archer-Daniels-Midland Company. During the 1920s the company began a research and development program, seeking to discover methods by which to alter the chemical structure of linseed oil. During this decade the company continued to purchase oil-processing companies in the Midwest. It also built elevators on Minneapolis loading docks to store grain awaiting shipment down the Mississippi to other ports.

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ARCHER-DANIELS-MIDLAND CO.

Company Deal	Archer-Daniels-Midland Company: acquisition of common stock of Werner G. Smith Co.; issue of additional common stock
Transaction Type	Acquisition of Common Stock / Additional Common Stock
Deal Description	Archer-Daniels-Midland Company used the proceeds from this transaction to provide funds for the recent acquisition by the company of the outstanding common stock of the Werner G. Smith Company, and for additional working capital.

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GENERAL AMERICAN INVESTORS COMPANY, INC.

LIST OF DEALS

- 1929 recapitalization and merger with Second General American Investors Company, Inc.
- 1931 reduction of capital
- 1944 common stock

The General American Investors Company was an investment trust organized in 1927 under the sponsorship of Lazard Freres and Lehman Brothers. In the first year of operation, ending December 1927, General American Investors earned \$1.1 million in income.

In October 1928 Lehman Brothers and Lazard Freres formed another investment trust, the Second General American Investors Company. The following year, in August 1929, the directors of both trusts agreed to merge, and the new company would continue with the name Great American Investors Company. Lazard Freres and Lehman Brothers once again underwrote the deal, valued at the time at \$40 million.

The stock market of the late 1920s and early 1930s impacted Great American Investors significantly, but as the decade of the 1930s progressed the trust began to recover. At the end of 1932 the trust reported assets of \$15 million. Yet one year later, assets were 45 percent higher at \$23.1 million, and in 1935 they increased even more to \$30.1 million. Through the remainder of the decade the assets of the trust fluctuated wildly from year to year. In 1937 assets dropped \$12 million, to \$24.7 million. By 1939 assets were once again up to \$30 million, and the following year they were back down to \$25.5 million. Assets were at \$25.3 million by the end of 1943.

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GENERAL AMERICAN INVESTORS COMPANY, INC.

Company Deal recapitalization and merger with Second General American Investors Company, Inc.

Transaction Type Cumulative Preferred Stock / Common Stock

Deal Description General American Investors Company, Inc., merged with Second General American Investors Company, Inc., in this transaction. The resulting new company, retaining the name General American Investors Company, Inc., issued stock to recapitalize.

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GENERAL AMERICAN INVESTORS COMPANY, INC.

Company Deal reduction of capital

Transaction Type Reduction of Capital

Deal Description General American Investors Company, Inc., reduced its capital in this transaction.

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GENERAL AMERICAN INVESTORS COMPANY, INC.

Company Deal common stock

Transaction Type Common Stock

Deal Description General American Investors Company, Inc., did not receive any portion of the proceeds from this transaction. All shares offered in this deal were sold by the group of sellers, which consisted of Pierre David-Well, Andre Meyer, and Lazard Freres & Co.

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GENERAL INDUSTRIAL ALCOHOL CORP.

LIST OF DEALS

- 1929 General Industrial Alcohol Corporation: issue of \$2,500,000 convertible 6 1/2% sinking fund debentures and common stock

The General Industrial Alcohol Corporation was incorporated in Delaware in April 1929 to acquire the business and assets of General Industrial Alcohol Company of Marrers, Louisiana, National Industrial Alcohol Company of New Orleans, and the alcohol plants of both the Greendale Company of Bay City, Michigan, and Michigan Chemical Company of Bay City, Michigan. The new company was given permits entitling it to produce approximately five million gallons of alcohol per year.

The new corporation also acquired ownership of the Molasses Distributors Corporation, which had purchased the domestic bulk blackstrap department of American Molasses Company of New York, including a fleet of fifty-seven tank cars and tidewater terminals in Boston, Brooklyn, and New Orleans, providing storage and distribution for over thirty million gallons of blackstrap per year.

Two of the units of this new corporation operated on Cuban blackstrap molasses. The others operated in Indiana, where grain was available, and in Michigan, which provided easy access to the beet-growing regions so they could operate on beet sugar.

This merger was part of a trend towards consolidation in the industrial alcohol industry. After General Industrial Alcohol was formed, the industry was left with nine companies compared to twenty in 1927.

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GENERAL INDUSTRIAL ALCOHOL CORP.

Company Deal General Industrial Alcohol Corporation: issue of \$2,500,000 convertible 6 1/2% sinking fund debentures and common stock

Transaction Type Convertible Sinking Fund Debentures

Deal Description General Industrial Alcohol Corporation used the proceeds from this transaction for cash and for the acquisition of Molasses Distributors Corporation.

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GENERAL REALTY & UTILITIES CORP.

LIST OF DEALS

- 1929 General Realty & Utilities Corporation: organization and stock issue

The General Realty & Utilities Corporation was organized in 1929 in New York City. It was created with \$44 million in capital by a group of New York City bankers and public utility interests. The company was engaged in several areas of the real estate business. It acquired real estate property for long-term investment, made short-term construction loans to builders, constructed new buildings for resale or permanent holding, accumulated land for improvement or resale, and held marketable securities for investment.

Within months after beginning operations, General Realty owned properties valued at \$11.5 million. These included the Terminal Building, a twelve-story store and office building located at 103 Park Avenue. It also owned land valued at more than \$10 million that was purchased with the intention of improving or reselling. One such parcel was the Italian Hospital site on the East River between 83rd Street and Gracie Square, which was destined to become a \$7 million housing project. The company also lent \$21 million to contractors on a short-term basis.

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GENERAL REALTY & UTILITIES CORP.

Company Deal General Realty & Utilities Corporation: organization and stock issue

Transaction Type Common Stock / Preferred Stock

Deal Description General Realty & Utilities Corporation issued shares of preferred stock and common stock in this transaction. The proceeds were used to provide capitalization for the company. The company's initial activities included the acquisition of unimproved property for future improvement or for resale; the construction of large buildings for investment or for sale; the purchase of improved income-producing property for investment; and the financing of real estate operations of all kinds, particularly of construction. Its real estate activities were initially centered in New York City.

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GRAND RAPIDS STORE EQUIPMENT CORPORATION

Company Deal common stock

Transaction Type Common Stock

Deal Description Grand Rapids Store Equipment Corporation used the proceeds from this transaction as part of its capitalization plan.

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HAHN DEPARTMENT STORES, INC.

LIST OF DEALS

- 1929 organization and initial financing
- 1930 Hahn Department Stores, Inc.; acquisitions of Joske Bros. Co. and Maas Brothers

Hahn Department Stores was organized by Lew Hahn in December 1928. It was created as a holding company for the purpose of acquiring and operating large, well-known department stores throughout the United States. Hahn went public in early 1929 with a \$22,700,000 offering of 6 percent convertible preferred stock and 454,000 shares of common stock.

Using the proceeds from this offering, Hahn initially acquired twenty-two stores nationwide. These companies were chosen because they had annual sales between \$1 million and \$10 million and because they had a record of achieving good earnings. They were also selected because they were deemed to be "the most important in their respective sections of the country." These companies included Jordan Marsh of Boston, L.S. Donaldson of Minneapolis, and the Bon Marche of Seattle. The Hahn strategy was that after each acquisition, the newly acquired department store would continue to operate under its own name and under the same management team, who, in turn, would own a substantial amount of the common stock of Hahn. The central organization was presented to prospective investors and the public as a place where "expert executives" would coordinate merchandise purchases and other activities.

Hahn had grown to twenty-nine stores with the addition of Maas Brothers Inc., of Tampa, Florida, in May 1929. That same month it completed its first full year of operations, earning \$6.0 million. The combined annual sales of the twenty-nine department stores under Hahn control were approximately \$115 million.

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HAHN DEPARTMENT STORES, INC.

Company Deal organization and initial financing

Transaction Type Convertible Preferred Stock / Common Stock

Deal Description Hahn Department Stores, Inc., issued preferred and common stock in this transaction to provide funds for its capitalizaiton.

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HAHN DEPARTMENT STORES, INC.

Company Deal Hahn Department Stores, Inc.; acquisitions of Joske Bros. Co. and Maas Brothers

Transaction Type Convertible Preferred Stock

Deal Description Hahn Department Stores, Inc., used the proceeds from this transaction to acquire Maas Brothers and Joske Bros. Co.

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NATIONAL UNION RADIO CORP.

LIST OF DEALS

- 1929 National Union Radio Corporation: common stock

The National Union Radio Corporation was incorporated in September 1929 to acquire the assets of three radio tube manufacturers; Sonatron Tube Company; Televocal Corporation; and the Magnatron Corporation.

This merger occurred during a period in which the demand for radio tubes was extraordinary. Through much of the 1920s the demand for tubes had been primarily for use in radio sets, which by 1929 numbered over nine million due to the growth of the radio broadcast industry. Each of these sets used between three to twelve tubes. The result was that between 1927 and 1928 the number of tubes sold for use in radio sets alone grew 82.8 percent. There was also the expectation that tube sales would be furthered by their use in other electrical devices such as phonographs, talking movies, televisions, and long-distance telephones.

The creation of National Union Radio is an example of the consolidation that was occurring in the radio tube industry during this period and the need to standardize the wide variety of tubes available. Other radio tube manufacturers were merging as well during this time. For example, Sonatron, one of the companies to be acquired by National Union, had itself been formed by the merger of four smaller radio tube companies in 1928.

The actions of Radio Corporation of America (RCA) appear to have driven the National Union Radio deal. In this deal, RCA lent the newly formed National Union Radio two million dollars for a period of five years at 5 percent interest. The National Union Radio Corporation also entered into a reciprocal license agreement with RCA, General Electric (GE), and Westinghouse to manufacture radio tubes under the patents owned by these companies. This provided RCA, GE, and Westinghouse with greater control over the cost and production of tubes used by their products and a ready market for the radio tubes that would be manufactured by National Union Radio.

The National Union Radio Corporation remained a major manufacturer of radio and television tubes for several years after 1929. It continued to operate under that name until June 1954, when it became the National Union Electric Corporation. In November 1954 the company sold its TV tube manufacturing facilities to Sylvania. Finally, in 1960, National Union Electric merged with Eureka-Williams. By this time, National Union had moved so far away from its original lines of business that at the time of its merger it was described as a "heating and air-conditioning manufacturer."

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NATIONAL UNION RADIO CORP.

Company Deal National Union Radio Corporation: common stock

Transaction Type Common Stock

Deal Description National Union Radio Corporation used the proceeds from this transaction for its capitalization. It issued shares of common stock in this deal.

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SECOND GENERAL AMERICAN INVESTORS COMPANY, INC.

Company Deal organization and issue of stock

Transaction Type Cumulative Preferred Stock

Deal Description Second General American Investors Company, Inc., used the proceeds from this transaction for its program of capitalization.

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THE F. AND R. LAZARUS AND COMPANY

Company Deal \$2,500,000 6 1/2% cumulative preferred shares; 30,000 common shares

Transaction Type Cumulative Preferred Shares / Common Shares

Deal Description The F. and R. Lazarus and Company used the proceeds from this transaction as part of its capitalization program.

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THE MAY DEPARTMENT STORES COMPANY

LIST OF DEALS

- 1929 issue and underwriting of additional common stock
- 1945 sale of 150,000 shares of \$3.75 cumulative preferred stock (without par value) and sale of 80,000 shares of common stock (par value \$5 per share)

David May, the founder of the May Department Stores, opened his first store in 1877, in Leadville, Colorado. The store, called May, Holcomb & Dean, supplied miners in the town with red woolen underwear and copper-riveted overalls. The store was an instant success, but a real estate dispute dissolved his partnership with the store's two other founders. May put up a building on newly purchased ground and called his second store the Great Western Auction House & Clothing Store. He was joined soon thereafter by a partner, Moses Shoenberg. After testing the market with a huge stock of expensive dresses bought from an overstuffed Chicago store, May and Shoenberg were quickly able to expand their merchandise to include women's apparel. May bought out Shoenberg's interest in 1885 and added branch stores in Aspen, Colorado, and Glenwood Springs, Colorado. By that time, the company's print advertising that touted bargain prices lured an ever-escalating, middle-class clientele, while frequent sales kept the merchandise moving. Fast stock turnover kept the customers in the height of fashion.

May's company continued to expand through the end of the nineteenth and the beginning of the twentieth centuries. In 1892 he purchased the Famous Department Store in St. Louis, Missouri, and in 1898 he bought the Hull & Dutton store in Cleveland, Ohio. The company was incorporated as the May Department Stores Company in 1910 in New York. The following year, the company bought William Barr Dry Goods Company in St. Louis and merged that store with its other St. Louis store, forming the Famous-Barr Company. Sales for 1911 reached \$14.8 million, with profits of \$1.5 million. In 1923 May bought a Los Angeles department store, A. Hamburger & Sons, and renamed it the May Company. This new store helped the May Department Stores Company surpass \$100 million in sales for 1926. That year, the company acquired Bernheimer-Leader Stores, Inc., in Baltimore, Maryland, which was also renamed the May Company. This was the company's last acquisition for some time. May's top priorities at that time were consolidation, improvement in performance, and store remodeling. Systematic modernization to update delivery systems and to provide customer parking began in 1928 and was completed in 1932.

The company remained successful during the Depression years. The stores' inventory was key to this success. Buyers had always maintained large stocks of merchandise, regardless of the external economic climate. This policy now proved profitable, for higher purchase costs were not a problem; the company added the old and the new prices of an item, averaged the two, and held one of its famous sales. Large inventories thus became an asset, leaving the stores

unaffected by the Depression era foundering of distressed suppliers. Another advantage during that time was the wide geographical spread of May's subsidiaries. Each store had its own buying department, allowing it to cater to its individual needs. Additional centralized buying facilities, however, allowed buyers to take advantage of mass-purchasing practices to keep their costs down. Careful planning paid off—although sales dropped to \$72.5 million by 1932, they slowly recovered, rising to \$89.2 million by the end of 1935.

A downside of the 1930s came from new competitors. The automobile's rising popularity made cheaper locations on city outskirts more accessible to customers. Labor disputes were also a problem for most department stores during this decade. In 1937 a union disturbance resulted in the arrest of a New York May store manager, and another caused panic among customers after strike organizers raised false fire alarms. Sales figures were not harmed by such events and reached \$98.4 million by 1938, yielding a net profit of \$3.8 million. By 1939 the company was once again ready to expand. Foreshadowing a 1940s trend toward suburban shopping centers, it opened a Wilshire Boulevard branch of its Los Angeles store, stocking it with merchandise for upper-income customers.

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THE MAY DEPARTMENT STORES COMPANY

Company Deal issue and underwriting of additional common stock

Transaction Type Common Stock

Deal Description The May Department Stores Company used the net proceeds from this transaction to capitalize expenditures previously made by the Board of Directors in the acquisition of new stores and improvements in store facilities.

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THE MAY DEPARTMENT STORES COMPANY

Company Deal sale of 150,000 shares of \$3.75 cumulative preferred stock (without par value) and sale of 80,000 shares of common stock (par value \$5 per share)

Transaction Type Cumulative Preferred Stock

The May Department Stores Company added the net proceeds from this transaction to its general funds, to be available for general corporate purposes.

Deal Description The company intended that portions of the funds be applied to the development of retail store operations in certain suburban areas and to the modernization and improvement of various existing properties of the company and subsidiaries.

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WILLIAM FILENE'S SONS COMPANY

Company Deal	Wm. Filene's Sons Company: \$2,000,000 6 1/2% cumulative preferred stock
Transaction Type	Cumulative Preferred Stock
Deal Description	William Filene's Sons Company used the proceeds from this transaction in connection with the purchase of all the outstanding capital stock of the R. H. White Company, a Massachusetts corporation engaged in the operation of a department store in Boston, Massachusetts.

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ADOLF GOBEL, INC.

LIST OF DEALS

- 1930 5-year 6 1/2% collateral gold notes, series A (with stock purchase warrants attached)

The origin of Adolf Gobel, Inc., dates to 1891 when a peddler named Adolf Gobel sold his delicatessen products to small butcher shops in New York City from a wicker basket on his arm. As demand for delicatessen goods grew, Gobel opened a store in the Williamsburg district of Brooklyn and later expanded as the industry grew to many parts of New York City. By 1926 the company had ninety-six motor trucks and employed 450 people. Gobel's original intention was to sell just sausages, but the demand for other delicatessen products increased so rapidly that many other food products were added. By the mid-1920s Adolf Gobel manufactured and sold a wide variety of fresh and smoked meats under the trade name, "Gobel's—Quality First—Pure Meat Products." These products, which included ham, bologna, corned beef, and bacon, were distributed through delicatessens, butchers, and restaurants throughout the Northeast.

When Adolf Gobel died in 1926 his heirs sold most of the company to a group of bankers; a small portion of common stock was sold publicly. In August 1926 Adolf Gobel, Inc., was incorporated in New York.

Adolf Gobel purchased George Kern, Inc., for \$10 million in 1927. Kern, whose personal history was very similar to that of Adolf Gobel, had arrived in America in 1888 as a penniless immigrant from Stuttgart, Germany, and had built a business that ranked second only to Gobel in the processed meat business. When the Kern company was sold to Gobel it was described in the press as a packing, wholesale, and retail distributor of pork and beef products in New York City that owned a fleet of eighty-one motor trucks.

In 1927 Adolf Gobel also acquired B. Meier & Son of Bronx, New York, Hertz Brothers of Milton, Pennsylvania, Merkel Inc. of Jamaica, Long Island, and C. Lehman Packing of Brooklyn, N.Y. In 1928 it formed the Playland Refreshment Corporation, which operated a concession at Playland in Rye Beach, New York, and purchased Howard Provision Company, which operated a stand in West Washington Market, New York. During this year the company also began bottling and selling sauerkraut and frankfurters with great success.

In 1928 Adolf Gobel acquired nearly all of the stock of Keane-Loffler, Inc., of Washington, D.C. Keane-Loffler was organized in 1928 to take over three businesses formerly known as A. Loffler Provision Company, T.T. Keane Company, and Keane Provision Company. Together they had sales of more than \$6 million annually. Gobel continued to grow through acquisition by adding two Boston firms in 1928, United Sausage and Pearl Sausage, which were expected to strengthen Gobel's market share in New England. These acquisitions helped lift Gobel's sales in

1928 to \$21.2 million from \$8.3 million in 1927. Similarly, net income grew from \$428,485 in 1927 to \$563,332 in 1928.

Gobel acquired over 96 percent of the common stock of the meatpacking company of Jacob E. Decker & Sons of Mason City, Iowa in 1929. The packing plant of Jacob E. Decker had the capacity to process 5,000 hogs per day and had branches throughout the Midwest with revenues of \$16 million.

In 1929 sales for Gobel more than doubled to \$46.0 million from \$21.2 million in 1927. Earnings, however, fell from \$563,332 in 1928 to \$131,298 as the company attempted to consolidate the operations of the companies they had acquired in recent years.

Adolf Gobel sold a record 243,715,995 pounds of meat in 1930.

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ADOLF GOBEL, INC.

Company Deal 5-year 6 1/2% collateral gold notes, series A (with stock purchase warrants attached)

Transaction Type collateral gold notes

Deal Description Adolf Gobel, Inc., planned to use the proceeds from the sale of the series A notes to provide funds to retire all of the outstanding ten-year 6% sinking fund gold notes, to pay off all of the bank loans (originally incurred principally in the acquisition of subsidiary companies and improvements to their properties), and for other corporate purposes of the corporation and its subsidiaries.

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HAHN DEPARTMENT STORES, INC.

LIST OF DEALS

- 1929 organization and initial financing
- 1930 Hahn Department Stores, Inc.; acquisitions of Joske Bros. Co. and Maas Brothers

Hahn Department Stores was organized by Lew Hahn in December 1928. It was created as a holding company for the purpose of acquiring and operating large, well-known department stores throughout the United States. Hahn went public in early 1929 with a \$22,700,000 offering of 6 percent convertible preferred stock and 454,000 shares of common stock.

Using the proceeds from this offering, Hahn initially acquired twenty-two stores nationwide. These companies were chosen because they had annual sales between \$1 million and \$10 million and because they had a record of achieving good earnings. They were also selected because they were deemed to be "the most important in their respective sections of the country." These companies included Jordan Marsh of Boston, L.S. Donaldson of Minneapolis, and the Bon Marche of Seattle. The Hahn strategy was that after each acquisition, the newly acquired department store would continue to operate under its own name and under the same management team, who, in turn, would own a substantial amount of the common stock of Hahn. The central organization was presented to prospective investors and the public as a place where "expert executives" would coordinate merchandise purchases and other activities.

Hahn had grown to twenty-nine stores with the addition of Maas Brothers Inc., of Tampa, Florida, in May 1929. That same month it completed its first full year of operations, earning \$6.0 million. The combined annual sales of the twenty-nine department stores under Hahn control were approximately \$115 million.

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HAHN DEPARTMENT STORES, INC.

Company Deal organization and initial financing

Transaction Type Convertible Preferred Stock / Common Stock

Deal Description Hahn Department Stores, Inc., issued preferred and common stock in this transaction to provide funds for its capitalizaiton.

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HAHN DEPARTMENT STORES, INC.

Company Deal Hahn Department Stores, Inc.; acquisitions of Joske Bros. Co. and Maas Brothers

Transaction Type Convertible Preferred Stock

Deal Description Hahn Department Stores, Inc., used the proceeds from this transaction to acquire Maas Brothers and Joske Bros. Co.

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Twentieth-Century Business Archives

VAN CAMP MILK COMPANY

LIST OF DEALS

- 1928 proceedings
- 1930 minute book, March 30, 1929, to September 8, 1930

The Van Camp Milk Company was incorporated in Indiana in 1928 to acquire eight evaporated milk packing and concentrating plants from the Van Camp Packing Company. This new corporation was owned and controlled by Van Camp Packing. The plants for the milk company were located in Angola, Indiana; Wauseon and Bryan, Ohio; Adrian and Homer, Michigan; and Sawyer, Casco, and Watertown, Wisconsin. The plants had a capacity in excess of two million cases of evaporated milk in 1928, and the entire output was sold through another Van Camp subsidiary, Van Camp Products Corporation.

In 1928 Van Camp Milk earned \$239,102, down from the \$266,172 it earned in 1926 as the milk division of Van Camp Packing. By 1930 Van Camp Milk employed 300 people and had over \$2.8 million in assets.

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VAN CAMP MILK COMPANY

Company Deal proceedings

Transaction Type Reorganization

Deal Description Van Camp Milk Company reorganized in this transaction.

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VAN CAMP MILK COMPANY

Company Deal minute book, March 30, 1929, to September 8, 1930

Transaction Type N/A

Deal Description This is a minute book, containing minutes of meetings held by Van Camp Milk Company from March 30, 1929 to September 8, 1930.

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ASSOCIATED RAYON CORP.

LIST OF DEALS

- 1928 Associated Rayon Corporation: organization stock issue
- 1931 Associated Rayon Corporation: reorganization issue of 20-year 5% guaranteed convertible debentures due 1950

Associated Rayon Corporation was incorporated in Maryland in November 1928 to acquire securities of U.S. and foreign companies in the rayon and allied industries. With the proceeds of the initial public offering of common stock in 1928, Associated Rayon spent approximately \$5 million and paid an additional 1.2 million shares to Vereinigte Glanzstoff-Fabriken A.G. to acquire a substantial interest in the following companies: Vereinigte Glanzstoff-Fabriken, A.G.; J.P. Bemberg, A.G., Germany; Erste Oesterreichische Glanzstoff-Fabrik, A.G., Austria; Societa Nazionale Industria Applicazioni Viscosa, Italy; Asahi Bemberg Kenshi K.K., Japan; Algemeene Kunstzijde Unie N.V., Netherlands; American Bemberg Corporation, Johnson City, Tennessee; American Glanzstoff Corporation, Elizabethton, Tennessee; and American Enka Corporation, Asheville, North Carolina.

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ASSOCIATED RAYON CORP.

Company Deal Associated Rayon Corporation: organization stock issue

Transaction Type Cumulative Convertible Preferred Stock

Deal Description Associated Rayon Corporation used the proceeds from this transaction as part of its capitalization program.

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ASSOCIATED RAYON CORP.

Company Deal Associated Rayon Corporation: reorganization issue of 20-year 5% guaranteed convertible debentures due 1950

Transaction Type Guaranteed Convertible Debentures

Deal Description Associated Rayon Corporation issued these convertible debentures as part of its reorganization program.

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GENERAL AMERICAN INVESTORS COMPANY, INC.

LIST OF DEALS

- 1929 recapitalization and merger with Second General American Investors Company, Inc.
- 1931 reduction of capital
- 1944 common stock

The General American Investors Company was an investment trust organized in 1927 under the sponsorship of Lazard Freres and Lehman Brothers. In the first year of operation, ending December 1927, General American Investors earned \$1.1 million in income.

In October 1928 Lehman Brothers and Lazard Freres formed another investment trust, the Second General American Investors Company. The following year, in August 1929, the directors of both trusts agreed to merge, and the new company would continue with the name Great American Investors Company. Lazard Freres and Lehman Brothers once again underwrote the deal, valued at the time at \$40 million.

The stock market of the late 1920s and early 1930s impacted Great American Investors significantly, but as the decade of the 1930s progressed the trust began to recover. At the end of 1932 the trust reported assets of \$15 million. Yet one year later, assets were 45 percent higher at \$23.1 million, and in 1935 they increased even more to \$30.1 million. Through the remainder of the decade the assets of the trust fluctuated wildly from year to year. In 1937 assets dropped \$12 million, to \$24.7 million. By 1939 assets were once again up to \$30 million, and the following year they were back down to \$25.5 million. Assets were at \$25.3 million by the end of 1943.

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GENERAL AMERICAN INVESTORS COMPANY, INC.

Company Deal recapitalization and merger with Second General American Investors Company, Inc.

Transaction Type Cumulative Preferred Stock / Common Stock

Deal Description General American Investors Company, Inc., merged with Second General American Investors Company, Inc., in this transaction. The resulting new company, retaining the name General American Investors Company, Inc., issued stock to recapitalize.

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GENERAL AMERICAN INVESTORS COMPANY, INC.

Company Deal reduction of capital

Transaction Type Reduction of Capital

Deal Description General American Investors Company, Inc., reduced its capital in this transaction.

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GENERAL AMERICAN INVESTORS COMPANY, INC.

Company Deal common stock

Transaction Type Common Stock

Deal Description General American Investors Company, Inc., did not receive any portion of the proceeds from this transaction. All shares offered in this deal were sold by the group of sellers, which consisted of Pierre David-Well, Andre Meyer, and Lazard Freres & Co.

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G. KRUEGER BREWING COMPANY

LIST OF DEALS

- 1933 organization and stock issue

The G. Krueger Brewing Company was founded by Gottfried Krueger, who came to Newark, New Jersey, from Germany at age sixteen. At the age of twenty-seven he opened his own brewery after a long apprenticeship. The company was known by several names: Hill & Krueger, Gottfried Krueger, Gottfried Krueger Brewing Company, and Krueger Beverage Company. In 1899 it was incorporated as the Gottfried Krueger Brewing Company.

Krueger Brewing produced and sold beer, ale, stout, and porter under the trade names Krueger's Finest, Krueger's Special, Kant, Boar's Head, Lord Essex, and Old Surrey. It holds the distinction of being the first brewery in the world to pack beer and ale in cans.

For much of its history, Krueger was a privately held corporation. In April 1933 a group of financiers incorporated the G. Krueger Brewing Company in Delaware. It acquired, in exchange for 200,000 shares of its stock and \$100,000, the plant, equipment, and other assets of Gottfried Krueger Brewing. Shortly thereafter, in June 1933, the company stock was admitted for trading on the New York Curb Exchange.

By 1933 Krueger Brewing owned a plant in Newark, New Jersey, that consisted of a brewery and bottling plant located on 2½ acres and that contained over 219,000 square feet of floor space. The capacity of this plant in 1933 was 350,000 barrels per year, and the company employed 233.

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G. KRUEGER BREWING COMPANY

Company Deal organization and stock issue

Transaction Type Common Stock

Deal Description G. Krueger Brewing Company issued common stock as part of its capitalization program.

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THE EXPORT STEAMSHIP CORPORATION

Company Deal purchase of stock and participation certificate in second mortgage

Transaction Type Second Mortgage

Deal Description In this transaction, the Export Steamship Corporation issued shares and notes secured by a second mortgage.

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BLACK AND DECKER MANUFACTURING CO.

LIST OF DEALS

- 1935 sale of common stock
- 1971 350,000 shares common stock (par value \$0.50 per share)

Alonzo Decker and S. Duncan Black founded the Black & Decker Manufacturing Company in Baltimore, Maryland, in 1910. The company originally manufactured products such as a milk bottle cap machine, a cotton picker, and machinery for the U.S. Mint. In 1916 the company began to design and manufacture their own electric-powered tools; it designed the first universal motor for electric-tool use, which was used in the portable "pistol grip and trigger switch" drill introduced by the company. Sales were over \$1 million by 1918.

The company grew during the 1920s, as it introduced more portable electric tools. To increase its client base, the company employed several tactics. It opened service centers in Boston and New York, organized clinics to teach distributors how to use and sell the tools, deployed demonstrators around the country, outfitted a monoplane to showcase its tools, and in 1921 began a mass-media campaign in the Saturday Evening Post. Black & Decker Manufacturing expanded abroad, establishing subsidiaries in Canada and England. The company also began an acquisitions program in the late 1920s.

The Depression greatly affected Black & Decker Manufacturing; the company was able to stay afloat through capital from outside investors and employee loyalty, as some employees worked without pay. Despite its troubles, the company continued to develop new products during the 1930s.

During World War II, the company manufactured shells, fuses, and other products for the war. The company feared a post-war downturn similar to that experienced after the First World War and set in motion plans to manufacture power tools for do-it-yourselfers and homeowners. Black & Decker produced the world's first power tools for the consumer market in 1946, a line of inexpensive drills and accessories called the Home Utility line.

Throughout the 1950s and 1960s the company continued to expand overseas and built facilities in Australia, South Africa, West Germany, France, Italy, Spain, Canada, and Mexico. Black & Decker expanded its product lines, producing portable pneumatic tools, woodworking tools, and electric lawn edgers and hedge trimmers. In 1964 the company began making use of television advertising. Sales were over \$200 million by 1969.

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BLACK AND DECKER MANUFACTURING CO.

Company Deal	sale of common stock
Transaction Type	Common Stock
Deal Description	The Black and Decker Manufacturing Company received no portion of the proceeds from this transaction. All shares offered were sold by the selling shareholders.

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BLACK AND DECKER MANUFACTURING CO.

Company Deal	350,000 shares common stock (par value \$0.50 per share)
Transaction Type	Common Stock
Deal Description	<p>The Black and Decker Manufacturing Company used the net proceeds from this transaction to reduce the company's short-term borrowings in the United States. Such borrowings, which on March 28, 1971 amounted to \$17,000,000, were incurred to meet increased working capital requirements. The balance of the proceeds was to be added to the company's working capital.</p>
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BROWN SHOE CO., INC.

LIST OF DEALS

- 1935 Brown Shoe Company, Inc.: issue of 15-year 3 3/4% sinking fund debentures

In 1878 George Warren Brown, Alvin L. Bryan, and Jerome Desnoyers founded a women's shoes manufacturing company called Bryan, Brown and Company. Desnoyers retired in 1893, and the company's name was changed to Brown Shoe Company.

By 1900 the company's sales had reached \$4 million. At that time John Bush, a Brown Shoe executive, acquired the rights to the Buster Brown cartoon character. This character would remain the company's signature logo for decades. The company's early marketing scheme involved a traveling show of performers dressed as Buster Brown, the company's mascot, who put on shows in theaters, shoe stores, and department stores. Brown Shoe pioneered the idea of marketing specific shoe brands to retailers, rather than the traditional method of traveling store-to-store with samples of every shoe manufactured by the company.

Brown Shoe Company's run-ins with unions began in 1907 when the company opened its first plant outside of St. Louis in response to increased union activity in its existing urban plants. For twenty years following this, the company pursued a policy of opening factories in rural areas, where there was little to no union activity. Brown Shoe began hiring women and children in 1911, as labor costs were increasing and it was legal to pay women and children less than men. More than half of the shoe workers in St. Louis were between the ages of fourteen and nineteen. During the Depression in the 1930s, the company lowered its costs by lowering the wages it paid to its workers.

The company was incorporated in New York in 1913, and went public on the New York Stock Exchange that same year. World War I brought a business boon to the company, as it won contracts to supply shoes to the U.S. troops. The company's second brand of shoes, Naturalizer, was introduced in 1927. Other Brown Shoe brands included Buster Brown, Brownbilt, Tread Straight, Blue Ribbon, and Connie.

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BROWN SHOE CO., INC.

Company Deal	Brown Shoe Company, Inc.: issue of 15-year 3 3/4% sinking fund debentures
Transaction Type	Sinking Fund Debentures
Deal Description	<p>Brown Shoe Company, Inc., used a portion of the net proceeds from this transaction to redeem its outstanding cumulative preferred stock. The remainder of net proceeds was first to be applied to the reduction or elimination of all bank loans to the company that may have been outstanding at the time. Such bank loans were incurred to finance the company's seasonal operations. Any excess over the amount of such bank loans was added to the company's general funds.</p>

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LOOSE-WILES BISCUIT COMPANY

Company Deal	issue of 5% preferred stock (and cash receipts in respect therefore)
Transaction Type	Preferred Stock
Deal Description	Loose-Wiles Biscuit Company applied the net proceeds from this transaction to the redemption of the then outstanding first preferred stock, or toward reimbursement of the company for moneys expended for that purpose.

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SCHENLEY DISTILLERS CORPORATION

LIST OF DEALS

- [1935 preferred stock issue](#)

The history of the whiskey that later brought fame to Schenley Distillers dates to approximately 1900, when chemist Frank Sinclair found an underground stream above the junction of the Kiskiminetas and Allegheny Rivers in Pennsylvania. With his charcoal expertise, Sinclair concluded that this stream water was ideal for making whiskey. Around 1900 he acquired the land from Mary Schenley and began what later became known as a Schenley distillery.

The Schenley Products Company was organized in New Jersey in 1920. During the 1920s the owner of Schenley, Lewis Rosenstiel, acquired approximately thirty distillers of whiskies and other spirits, including Joseph S. Finch & Company, Napa Valley Wine & Brandy, Greenbrier Distilling Company, and Sam Thompson Distillery Company.

During the 1920s and until repeal of Prohibition, liquor manufacturers were under strict government control that limited production for specific purposes. After repeal in 1933, Schenley Distillers Corporation was created in Delaware. In July 1933 Schenley Distillers acquired, in an exchange for 820,000 of its capital stock, the entire capital stock of Schenley Products. The shares of Schenley Distillers were then offered to the public in a deal arranged by Lehman Brothers and valued at approximately \$3 million. At this time, Schenley was the second-largest whiskey distiller in the United States, second only to Joseph E. Seagrams, owned by Sam Bronfman.

After Prohibition, demand soared for distilled alcohol products. Schenley earned \$6.9 million on sales of \$40.3 million in 1934. The following year, earnings rose to \$8.0 million and sales rose 56 percent to \$63 million.

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SCHENLEY DISTILLERS CORPORATION

Company Deal preferred stock issue

Transaction Type Cumulative Preferred Stock

Deal Description Schenley Distillers Corporation used the net proceeds from this transaction to pay off bank indebtedness of its subsidiary, Schenley Products Company.

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THE CLEVELAND-CLIFFS IRON CO.

LIST OF DEALS

- 1935 The Cleveland-Cliffs Iron Company: issue of \$16,500,000 first mortgage sinking fund 4 3/4% bonds

The Cleveland Cliffs Iron Company's predecessor, the Cleveland Iron Mining Company, was founded in 1846 by a group of investors led by Samuel L. Mather. The company's first years were trying, as the cost of shipping was extremely high until the completion of the Sault Ste. Marie canal in 1855. The company stayed afloat by issuing "IOUs," dubbed "Iron Money," in one-, two-, three- and five-dollar denominations until it had earned enough cash to adequately meet its financial obligations.

Surface mines in the area were gradually depleted, and the company was forced to begin underground excavations. This new mining process required specialized equipment, such as power drills, hoisting and conveying machinery, pumps, and ventilation equipment. In 1877 Cleveland Iron Mining became one of the first companies to use these types of equipment. The company also pioneered the use of electricity at its mines and established on-site hydroelectric and coal-fired generators. At the end of the nineteenth century, the company diversified into timber harvesting, as timber was used to support mine shafts and as fuel for blast furnaces. Cleveland Iron Mining then became involved in other activities related to timber, such as a venture in paper production with the Munising Paper Company. The company also bought an interest in the Munising Woodenware Company, a manufacturer of wooden bowls, clothespins, and rolling pins.

During the 1890s steel companies began to vertically consolidate by acquiring iron ore properties in the Michigan area. Spurred by these actions, several larger mining companies merged and/or acquired their smaller competitors. In 1891 Cleveland Iron Mining merged with the Iron Cliffs Mining Company to become the Cleveland-Cliffs Iron Company. In the late portion of that decade, the company joined the Pittsburgh & Lake Angeline Iron Company.

As mining became an increasingly expensive venture, the company began to form

partnerships with steel companies to own and operate mines. Cleveland-Cliffs Iron established its first of such partnerships in 1903, when it leased the Negaunee Mine to a company it co-owned with Bethlehem Steel Corporation. In 1929 the company planned to form a top-ranking steel company through the union of several mid-sized competitors. In exchange for financing part of the venture, Cleveland-Cliffs was to become its preferred supplier. This plan called for Cleveland-Cliffs to establish a new entity, Cliffs Corporation, which was to be jointly owned by Cyrus Eaton, a Cleveland financier, and a group of steel magnates. Eaton contributed a portfolio

of stocks in Republic Steel Corporation, Inland Steel Company, and Youngstown Sheet and Tube. Cleveland-Cliffs acquired a controlling interest in Corrigan-McKinney Steel Company. The Depression foiled the plans and left Cleveland-Cliffs with a large amount of debt.

In 1932 the company recorded a loss. Around this time, the company began a policy of sacrificing all but domestic iron ore reserves. Cleveland-Cliff's financial condition worsened, and the company sold some of its timberlands and steel stocks. In 1935 the company divested itself of Corrigan-McKinney.

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THE CLEVELAND-CLIFFS IRON CO.

Company Deal The Cleveland-Cliffs Iron Company: issue of \$16,500,000 first mortgage sinking fund 4 3/4% bonds

Transaction Type First Mortgage Sinking Fund Bonds

Description The Cleveland-Cliffs Iron Company used the net proceeds from this transaction, together with proceeds from collateral loans, to retire the outstanding 6% notes of the company. These notes represent renewals or replacements of bank loans incurred in 1930 and 1931 and renewed or replaced from time to time thereafter for periods of not exceeding one year. Said notes were held by the following creditors: the Union Trust Company, the Cleveland Trust Company, Central United National Bank of Cleveland, Continental Illinois National Bank & Trust Company of Chicago, Bankers Trust Company, Bank of the Manhattan Company, the Cliffs Corporation, Lake Superior and Ishpeming Railroad Company, and William G. Mather.

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THE STUDEBAKER CORPORATION

LIST OF DEALS

- 1935 reorganization

The origin of the Studebaker Corporation dates to 1852 when brothers Henry and Clement Studebaker opened the H&C Studebaker blacksmith shop in South Bend, Indiana, with sixty-eight dollars in capital and two forges. Two wagons were built in the first year, one of which gave satisfactory service for thirty-three years. In 1858 a third brother, John Mohler Studebaker, returned from California, where he made wheelbarrows for gold miners, and invested his earnings of \$8,000 in the business. At this time, the brothers had been manufacturing wagon orders for the U.S. Army. The company was renamed the Studebaker Manufacturing Company in 1868. During that year it also opened a branch in St. Joseph, Missouri, to handle the trade of pioneers who were crossing the country in large numbers.

In 1868 sales were \$360,619, and by 1887 sales eclipsed \$2 million and production topped 75,000 vehicles. It eventually became the largest wagon manufacturer in the world. It also earned the distinction of being the only manufacturer to successfully switch from horse-drawn to gasoline-powered vehicles.

Studebaker experimented with a "horseless vehicle" in 1897 and made the transition into the automobile market after the turn of the century, introducing an electric car in 1902 as well as gasoline-powered cars in 1904. These were produced by Garford Company of Ohio and marketed under the name Studebaker-Garford. In subsequent years it introduced several firsts, including the first six-cylinder motor cast and the first auto manufacturer to offer cord tires as standard equipment.

Studebaker sales amounted to \$13.9 million with net profits of \$1.6 million in 1910. The company merged with Everitt-Metzker-Flanders Company of Detroit in 1911 to form the Studebaker Corporation with \$45 million in capital. Studebaker sold automobiles under the EMF and Flanders names until 1913. Thereafter all new cars carried the Studebaker name until 1920, at which time automobile production was moved from Detroit to South Bend, Indiana.

Studebaker earned over \$9 million per year in 1915 and 1916. Profits fell to around \$3.5 million annually during World War I as the company offered its plants to the government for war production. During the war, Studebaker took over 160 different government contracts and produced more than \$30 million in manufactured goods, including mine anchors. After the war, earnings rebounded to \$11 million in 1921, \$18 million in 1922, and \$20 million in 1923. Part of this can be attributed to the enormous investment the company made in plant investment: From 1916 through 1923, Studebaker invested over \$37 million in plant and equipment, all

from earnings. In 1923 it owned the largest automobile manufacturing plant in the world.

During the 1920s Studebaker built automobiles in the medium price field through a distribution network of 5,000 dealers and 3,500 service stations. The company sold 145,167 cars in 1923, up from 89,356 in 1919.

Studebaker introduced the Erskine, a small car for the European market, in 1927, and it also purchased luxury automaker Pierce-Arrow.

Studebaker had assets over \$100 million by the end of 1931 and served as a holding company for several subsidiaries: Pierce-Arrow, Studebaker, Rockne, and S.P.A. Trucks. In May 1932 Studebaker formed another subsidiary, S.P.A.R. Sales Corporation, to handle sales activities of the Studebaker, Pierce-Arrow, and Rockne subsidiaries.

Studebaker acquired the White Motor Company of Cleveland, Ohio, in September 1932 for \$26.3 million in cash, notes, and stock. White Motor was founded in 1901 and produced trucks and buses.

On March 18, 1933, the effects of the Great Depression and poor management decisions placed Studebaker in receivership. In early 1935 Studebaker was reorganized under the new Section 77B of the bankruptcy act. Under terms of the plan, approximately \$6.4 million in new 6 percent debentures were offered for subscription by the present common and preferred stockholders of the company. The proceeds were used for working capital and the deal was underwritten by Lehman Brothers; Field, Glore & Company; Hayden, Stone & Company; and Goldman, Sachs & Company.

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THE STUDEBAKER CORPORATION

Company Deal reorganization

Transaction Type Convertible Debentures / Common Stock

Deal Description The Studebaker Corporation issued the debentures and common stock as part of its 1935 plan of reorganization.

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UNITED BISCUIT COMPANY OF AMERICA

LIST OF DEALS

- 1935 issue of 5% debenture bonds

The United Biscuit Company of America was incorporated in Delaware in November 1927. It was created through the merger of the three operating subsidiaries of the United Biscuit Company with five independent biscuit companies as well as a carton and container-manufacturing firm. The new corporation was the third-largest biscuit manufacturing company in the United States, with distribution primarily in the Midwest.

The predecessor firm, United Biscuit Company, was incorporated on November 17, 1925, and operated through three subsidiaries: the Sawyer Biscuit Company of Illinois, the Union Biscuit Company, and the Lakeside Biscuit Company of Ohio. The other companies involved in the merger were the Streitman Biscuit Company of Cincinnati, Felber Biscuit Company of Columbus, the Manchester Biscuit Company of Sioux Fall, South Dakota, the Manchester Biscuit Company of Fargo, North Dakota, and the Merchants Biscuit Company of Denver. The combined assets for all these companies totaled approximately \$11.5 million.

In 1928 United Biscuit grew by approximately 30 percent and increased its geographical reach through the acquisition of three companies: Ontario Biscuit Company, which operated plants in Buffalo, New York, and Pittsburgh; Hekman Biscuit Company of Grand Rapids, Michigan; and Quality Biscuit Company of Milwaukee. These acquisitions were made almost entirely through the issuance of stock.

During the late 1920s and into the early 1930s, United Biscuit held steady despite a weakening economy. In 1932 United Biscuit earned \$924,208 on gross sales of \$14.7 million. Three years later, in 1935, net income was \$895,498 million from gross sales of \$20.4 million. By 1935, United Biscuit was operating fifteen bakeries in the East and Midwest that employed approximately 4,400.

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UNITED BISCUIT COMPANY OF AMERICA

Company Deal issue of 5% debenture bonds

Transaction Type Debenture Bonds

Deal Description United Biscuit Company of America used a portion of the proceeds from this transaction to redeem all of the fifteen-year 6% debentures of the company then outstanding or to reimburse the company for amounts expended in acquiring such debentures prior to the redemption date. Another portion of the proceeds was used to retire the entire indebtedness of Chicago Carton Company owed to Central Manufacturing District. Another portion was used to retire all notes payable of the company. Finally, any balance of the proceeds was retained in the treasury as cash or advanced to subsidiaries to finance the ordinary conduct of business or used for possible plant construction, expansion, or improvement.

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ALLIED STORES CORP.

LIST OF DEALS

- 1936 Allied Stores Corporation: 4 1/2% debentures due 1951
- 1945 Allied Stores Corporation: 200,000 shares of 4% cumulative preferred stock (\$100 par value)

Hahn Department Stores was organized in December 1928 as a holding company for the purpose of purchasing a large number of long-established department stores. Hahn went public in early 1929 with a \$22,700,000 offering of 6 percent convertible preferred stock and 454,000 shares of common stock.

Using the proceeds from this offering, the company initially acquired twenty-two stores nationwide that were determined by Hahn to have good earnings records and that were "the most important in their respective sections of the country." These companies included Jordan Marsh of Boston, L.S. Donaldson of Minneapolis, and the Bon Marche of Seattle. The Hahn strategy was that after the acquisition, each department store would continue to operate under its own name and under the same managers, who also owned a substantial amount of the common stock of Hahn. The central organization was presented as a place where "expert executives" would be concerned with coordination of buying merchandise and other activities that would benefit from a chain store.

The Hahn Department Store Company continued to operate under that name for only a few more years. In 1935 the Allied Stores Corporation was founded as a successor to Hahn. In the decades to follow, Allied continued to grow through sales and more acquisitions, until in 1986 it was acquired by the Campeau Corporation. Allied and Federated Department Stores, another Campeau subsidiary, were merged in 1988 to form Federated Stores, Inc. In 1990 Federated filed for reorganization under Chapter 11 of the U.S. Bankruptcy Code, from which it emerged in 1992. In 1994 Federated and R.H. Macy & Co. merged, creating the largest department store chain in the United States.

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ALLIED STORES CORP.

Company Deal	Allied Stores Corporation: 4 1/2% debentures due 1951
Transaction Type	debentures
Deal Description	Allied Stores Corporation expected to apply a portion of the proceeds to the prepayment of the corporation's notes, which were issued in order to obtain funds largely used for the acquisition of all the capital stock of the Polsky Realty Company. The balance of the proceeds was to be retained for general corporate purposes and to enable the corporation to increase its investments in existing subsidiaries and take advantage of any opportunities to acquire additional subsidiaries operating retail department stores or to acquire and equip properties suitable for use as retail department stores. Mention was made of the fact that the corporation was engaged in negotiations toward the formation of a new subsidiary that would lease retail department store premises on Euclid Avenue in Cleveland, Ohio.

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ALLIED STORES CORP.

Company Deal Allied Stores Corporation: 200,000 shares of 4% cumulative preferred stock (\$100 par value)

Transaction Type cumulative preferred stock

Deal Description Allied Stores Corporation proposed that the net proceeds from the sale of shares be applied to the redemption of 195,225 outstanding shares of 5% preferred stock at \$100 per share, amounting to \$19,522,500, exclusive of accrued dividends from July 1, 1945 to the date fixed for redemption. The difference between the redemption price and the net proceeds would be supplied from the company's treasury.

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FEDERATED DEPARTMENT STORES, INC.

LIST OF DEALS

- 1936 issue of 4 1/4% convertible preferred stock
- 1951 Federated Department Stores: 250,000 shares of common stock (\$5 par value)
- 1970 \$50,000,000 8 3/8% sinking fund debentures due September 15, 1995
- 1972 \$50,000,000 7 1/8% sinking fund debentures due March 15, 2002

Federated Department Stores, Inc., was organized in Columbus, Ohio, in 1929 as a holding company for founding members F&R Lazarus & Company, its subsidiary Shillito's, and Abraham & Straus department stores. The group was led by Fred Lazarus Jr., whose namesake company was the dominant retail store in Columbus. F&R Lazarus was founded as a men's clothing store in 1851 by Simon Lazarus. Shillito's was founded in 1830 and acquired by F&R Lazarus in 1928. Abraham & Straus was founded in 1865 and would go on to become the Federated group's sales and profits leader by the mid-twentieth century.

In 1930 Bloomingdale's joined the Federated group. This department store was selling European imports by 1886 and quickly became a leader in home furnishings. During the 1930s Federated established an administrative division of labor that placed department managers in charge of buying and selling all of the merchandise in their particular department. In 1934 Fred Lazarus revolutionized retail clothing sales when he adopted a French merchandising technique in which apparel was arranged according to size, rather than by color, price, or brand. This system became an industry standard. In 1939 Lazarus was a key figure in convincing President Roosevelt to move the Thanksgiving holiday to the fourth Thursday of November, thus lengthening the Christmas shopping season and giving retailers more time to sell at their busiest time of the year.

Federated's department stores assisted their customers during the Depression years by extending credit and establishing a reputation for community involvement in times of crisis. After World War II, the company faced the threat of increased competition from suburban shopping centers. Federated had to decide whether to break up or form a central organization focused on expansion. Federated opted for stronger organization.

The company grew a great deal in the 1950s through acquisitions and expansions. In 1956 Federated acquired Burdines, of Miami. In 1959 the company purchased Rikes' and Goldsmiths', the largest department stores in Dayton, Ohio, and Memphis, Tennessee, respectively. During this decade, sales at Federated's fifty main stores and thirty-two branches increased over 100 percent, and the group became the country's largest, most profitable department store company. Its members included the most prestigious department store chains in almost any given metropolitan area: Foley's of Houston, Sanger's in Dallas, and Filene's of

Boston.

Federated continued to prosper in the 1960s. By the middle of the decade, the company's annual sales surpassed \$1 billion. From 1960 to 1970, sales increased 250 percent, reaching \$2 billion by 1970. In 1965 Federated purchased Bullock's and I. Magnin, both California-based department stores. Following these acquisitions, the company was prohibited from purchasing any more department stores until 1970. Federated then branched out into the supermarket industry and acquired Ralph's Industries, a West Coast supermarket chain, in 1968. The company also entered the mass-merchandizing industry that year with the creation of Gold Circle discount stores.

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FEDERATED DEPARTMENT STORES, INC.

Company Deal issue of 4 1/4% convertible preferred stock

Transaction Type Convertible Preferred Stock

Deal Description Federated Department Stores applied the net proceeds from this transaction to the acquisition of shares of Abraham & Straus, Inc., Bloomingdale Bros., Inc., Wm. Filene's Sons Company, and the F. and R. Lazarus and Company. Any balance of the proceeds was added to the corporation's working capital.

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FEDERATED DEPARTMENT STORES, INC.

Company Deal Federated Department Stores: 250,000 shares of common stock (\$5 par value)

Transaction Type Common Stock

Deal Description Federated Department Stores added the net proceeds from this transaction to its general funds, to be available for general corporate purposes. Such funds were to provide additional equity capital in the business for possible futures needs, which may have been occasioned by the growth of the business. The company anticipated that a substantial portion of the funds may have been applied to the expansion and improvement of its properties, and to expanded operations, particularly to the opening of new stores by the company's new Fedway division.

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FEDERATED DEPARTMENT STORES, INC.

Company Deal \$50,000,000 8 3/8% sinking fund debentures due September 15, 1995

Transaction Type Sinking Fund Debentures

Deal Description Federated Department Stores, Inc., used the net proceeds from this transaction for general corporate purposes.

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FEDERATED DEPARTMENT STORES, INC.

Company Deal \$50,000,000 7 1/8% sinking fund debentures due March 15, 2002

Transaction Type Sinking Fund Debentures

Federated Department Stores, Inc., added the net proceeds from this transaction to its general funds, which were available for corporate purposes.

Deal Description The company applied a portion of the proceeds to the reduction of short-term indebtedness. Proceeds of such short-term loans were used principally to finance working capital requirements, property and equipment purchases, and the acquisition of other assets.

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NORTHWEST PUBLICATIONS, INC.

LIST OF DEALS

- 1936 \$4,200,000 principal amount of 4 1/2% sinking fund debenture bonds, due July 1, 1948

Northwest Publications was incorporated as Dispatch-Pioneer Press Company in Delaware in 1927. The new corporation printed, published, and sold newspapers and periodicals. It also dealt in paper, timber, and lithography. Northwest Publications was a subsidiary of Ridder Brothers (now Ridder Publications), the large newspaper corporation that published the *Journal of Commerce* in New York at the time.

Ridder Publications was founded in 1892 in New York. In that year Herman Ridder purchased a New York German-language newspaper, the *Staats-Zeitung*, and began publishing it himself. His second acquisition was the venerable *Journal of Commerce*, which had been founded in 1827 and which Ridder purchased in 1926. The company grew by acquiring other newspapers. Ridder Publications had a policy of local autonomy for its newspapers.

Northwest Publications aided Ridder in acquiring newspapers. Northwest published the *St. Paul Pioneer Press*, the *St. Paul Dispatch*, the *St. Paul Sunday Pioneer Press*, and the *St. Paul Daily News*. In 1936 Northwest purchased the stock of the News Tribune Company and some assets of the Herald Company, both newspaper companies in Duluth, Minnesota. The purchase allowed Northwest to acquire two newspapers, the *Duluth News-Tribune* and the *Duluth Herald*. The *Duluth News-Tribune* had been founded in 1868 as a weekly newspaper called the *Duluth Tribune*; by the 1930s it was a morning paper. The *Duluth Herald* began publication in 1883 as the *Evening Herald*. To make this purchase, Northwest issued \$4.2 million in sinking fund debentures. Of that sum, \$1.5 million went to purchase the News Tribune Company. The rest of the money was used to retire previous company bond issues.

Northwest Publications' net income was \$390,000 in 1935 and \$493,000 in 1939. The Ridder family continued to run both Ridder Publications and Northwest Publications for most of the twentieth century.

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NORTHWEST PUBLICATIONS, INC.

Company Deal	\$4,200,000 principal amount of 4 1/2% sinking fund debenture bonds, due July 1, 1948
Transaction Type	Sinking Fund Debentures
Deal Description	Northwest Publications, Inc., used the proceeds from this transaction to purchase certain assets of the Herald Company. The company also purchased all the issued and outstanding capital stock of News Tribune Company.

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PHILLIPS PACKING COMPANY, INCORPORATED

Company Deal	preferred and common stock issue
Transaction Type	Cumulative Preferred Stock / Common Stock
Deal Description	Phillips Packing Company, Incorporated, used the proceeds from this transaction to pay off indebtedness, which was incurred for tin plate purchased. The balance of the funds was added to the company's general funds.

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THE PARRAFFINE COMPANIES, INC.

Company Deal	The Paraffine Companies, Inc.: 4% cumulative convertible preferred stock
Transaction Type	Cumulative Convertible Preferred Stock / Common Stock
Deal Description	The Paraffine Companies, Inc., expected to use the net proceeds from this transaction to pay off outstanding bank loans. The proceeds were also used to make advances to Plant Rubber & Asbestos Works, a subsidiary, to enable it to pay off bank loans. The company also used the proceeds to purchase machinery and equipment for the manufacture of asphalt shingles and to complete the construction and installation of other miscellaneous additional warehouse facilities. Any balance was used for general corporate purposes.

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BOND STORES, INC.

LIST OF DEALS

- 1937 reorganization and stock issue
- 1940 common stock
- 1944 4 1/2% convertible preferred stock

The history of Bond Stores dates to 1914 when Mortimer Slater founded the stores as a retail outlet with Charles Bond and Lester Cohen. The first store was that of Mr. Bond in Cleveland and featured fifteen-dollar men's suits. As president Mr. Slater built the concern into a million-dollar corporation, increasing the number of employees from fifty to more than 4,000. At his retirement in 1924, the concern had twenty-eight stores in large cities.

Bond Stores was organized in Maryland on March 19, 1937 by the consolidation of Bond Clothing Company, a Maryland corporation, and its subsidiary, Bond Stores, Incorporated. The principal executive offices of the corporation were located at 261 Fifth Avenue, New York, New York.

The corporation's business consisted primarily of the retail sale of men's and ladies' ready-to-wear clothing, and also sold at retail men's haberdashery, furnishings, hats, and shoes. In 1944, the corporation operated 59 retail stores located in 48 cities in 19 states and the District of Columbia. The men's ready-to-wear clothing was sold in all of the stores. The corporation manufactured all of its men's clothing in its own plants.

During the five-year period from about 1939 to 1944, the general character of the business did not greatly change. The war, however, resulted in the discontinuance of certain lines of merchandise, the addition of other lines of merchandise, changes in the methods of doing business, and changes in the credit arrangements under which the corporation's retail business was formerly conducted. As the number of men in uniform mounted by the million, and the prospective size of the Army and Navy gained by even more impressive leaps and bounds, the civilian haberdasher faced a customer shortage. To make matters worse, men's fashions change slowly, and men tend to wear what they have for long periods of time. As a result, men's clothing stores began to engage in selling women's apparel and one of the most important changes to occur in the corporation's business was the addition of a ladies' line of ready-to-wear suits and coats in the latter part of 1942. Introduced in a limited number of stores only, the sale of ladies' clothes met with such immediate success that ladies' departments were opened in additional stores, and by 1944 such departments were operated in all but two stores.

During and subsequent to 1942, the corporation entered into agreements with the U. S. government for the manufacture of trousers, service coats, and overcoats for the Army.

Retail sales were made for cash or credit. Credit sales were made under what were termed "Budget Service" or "Extended Charge Accounts" plans. The Budget Service was begun in 1928 as the "Ten-Payment Plan." Under this plan the customer made an initial payment of five dollars at the time of purchase, the store credit manager having discretionary power to reduce or eliminate the initial payment where credit had been established on a satisfactory basis. The balance was paid within ten weeks. Extended Charge Account plans, introduced in 1938, had the customer pay one-third of the purchase price on the tenth day of the month following the purchase, and one-third on the tenth day of the second and third months following the date of the purchase; no initial payment was required on this plan. On May 6, 1942, these credit plans were revised to conform to government regulations as to credit. The corporation sought to restore them to their original bases should such restrictions ever be removed.

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