

AMERICAN AIRLINES, INC.
New York Municipal Airport
New York, N.Y.

January 4, 1939

To: Amon G. Carter
Fort Worth Star Telegram, Ft. Worth.
From: T. J. Dunnion, Treasurer
Subject: Report of Ownership of Stock and
Other Interests by Officers and
Directors of Air Carriers

Section 407 (c) of the Civil Aeronautics Act of 1938 provides as follows:

"Each officer and director of an air carrier shall annually and at such other times as the Authority shall require transmit to the Authority a report describing the shares of stock or other interests held by him in any air carrier, any person engaged in any phase of aeronautics, or any common carrier, and in any person whose principal business, in purpose or fact, is the holding of stock in, or control of air carriers, other persons engaged in any phase of aeronautics, or common carriers."

In October, 1939 the Civil Aeronautics Authority issued regulations (Serial No. 47) in respect to the reports required under the above section of the Act. These regulations require that each officer and director who served as such at any time during the period August 22, 1938 to December 31, 1939, file a report on or before March 1, 1940 describing their holdings of stock or other interests as outlined in Section 407 (c) quoted above. This initial report should include any such holdings held at any time between August 22, 1938 and December 31, 1939.

We have prepared and are enclosing herewith three sets of forms for your use in making this report. We also enclose for your guidance a copy of the above referred to regulations issued by the Civil Aeronautics Authority. We suggest that they be carefully read before the report is prepared.

Page 3, Item E of the Instructions provides that the report be made in triplicate, two copies to be properly executed, verified and transmitted to the bureau of Economic Regulation, Civil Aeronautics Authority, Washington, D.C., and the third copy to be retained by the reporting individual.

We request that you acknowledge receipt of the above referred to report forms by signing a copy of this letter and returning it to the writer. We should also like to be advised when you have filed the initial report with the Civil Aeronautics Authority so that we may have a report that the regulations have been complied with.

Received

T. J. Dunnion
Vice President and Treasurer

Date _____

REPORT OF OWNERSHIP OF STOCK AND OTHER
INTERESTS UNDER SECTION 407 (c) OF
THE CIVIL AERONAUTICS ACT OF 1938.

BY

A. G. CARTER

(Name of officer or director)

FORT WORTH, TEXAS

(Post Office Address)

DIRECTOR

(Title of Position)

OF

AMERICAN AIRLINES INC

(Name of air carrier)

OF

(Title of Position)

(Name of air carrier)

TO THE

CIVIL AERONAUTICS AUTHORITY

WASHINGTON, D.C.

FOR THE PERIOD

BEGINNING August 22, 1938 AND ENDING December 31, 1939

1. Name and address of reporting individual.

A. G. CARTER
C/O STAR TELEGRAM
FORT WORTH, TEXAS

2. Name of air carrier or air carriers and title of position or positions held therein.

AMERICAN AIR LINES INC. - DIRECTOR

3. Occupation of reporting individual.

PRESIDENT - CARTER PUBLICATIONS, INC.

STATE OF)
 : SS
COUNTY OF)

I, A. G. CARTER
(Name of affiant)

DIRECTOR OF AMERICAN AIRLINES INC.
(Title of position) (Name of air carrier)

and

_____ OF _____
(Title of position) (Name of air carrier)

do on my oath declare that the foregoing report, together with the sheets attached thereto marked _____

have been prepared by me, or at my direction and under my general supervision, from books and records and from such other sources of information as were necessary for complete and accurate preparation of such report; that I have carefully examined or caused to be examined each and every answer or statement herewith submitted; that, to the best of my knowledge, information and belief, all of said answers and statements are true and correct, and completely state all relevant and material facts now available from the aforesaid books, records, and other sources of information; that each and every question is fully and complete answered, except as otherwise described and explained, and that I, or others at my direction and under my general supervision, have made diligent efforts to obtain all facts necessary to make each and every answer full and complete.

Subscribed and sworn to before me, a
in and for the State and County above named, this _____ day of
_____, 19____.

(Signature of officer authorized to administer oaths.)

My commission expires _____

Name AMON G. CARTER

INFORMATION WITH RESPECT TO ALL SHARES OF STOCK OR OTHER INTERESTS HELD BY THE REPORTING INDIVIDUAL, BENEFICIALLY OR OTHERWISE, DIRECTLY OR INDIRECTLY, IN ANY AIR CARRIER.

- | | | |
|--|---|--|
| (a) Correct name of person in which the interest is or was held. | (b) Classes of stock or type and exact title of bond, note or other interest. | (c) Number of shares of each class of stock or principal amount of bonds, notes, or other interests. |
|--|---|--|

AMERICAN AIRLINES, INC

COMMON STOCK

5,000 SHARES

(i) Description of voting rights, if any.

(j) Date or dates of acquisition.

(k) If disposed of date or dates of disposition.

(l) Names and by whom the report

Katrine

In the case of stock or other interests listed on nationally known exchanges, the information required by items (d) and (l) inclusive, need not be reported, but reference should be made to that fact and the name of the exchange given.

d) Par or stated value of stock	(e) Date of issue of bonds or interests other than stocks.	(f) Date of maturity of bonds, notes or interests other than stocks.	(g) Interest rate of bonds, notes or interests other than stocks.	(h) Description of conversion rights, if any.
---------------------------------	--	--	---	---

not applicable

not applicable

not

n.a.

resses of any persons interest is held for individual.

(m) Names and addresses of any persons for whom the interest is held by the reporting individual.

(n) If the interest is beneficially owned by the reporting individual together with other persons, the nature of the relationship (co-partnership, trust, etc.)

akins 1200 Shares

Name AMON G. CARTER

Schedule B.

INFORMATION WITH RESPECT TO ALL SHARES OF STOCK OR OTHER INTERESTS HELD BY THE REPORTING INDIVIDUAL, BENEFICIALLY OR OTHERWISE, DIRECTLY OR INDIRECTLY, IN ANY PERSON ENGAGED IN ANY PHASE OF AERONAUTICS.

- (a) Correct name of person in which the interest is or was held.
- (b) Classes of stock or type and exact title of bond, note or other interest.
- (c) Number of shares of each class of stock or principal amount of bonds, notes, or other interests

CANADIAN COLONIAL AIRWAYSCOMMON
*Com*1,000 *000*AVIATION CORPORATION OF AMERICA, INC

COMMON

1,000 *000*

(i) Description of voting rights, if any.

(j) Date or dates of acquisition.

(k) If disposed of date or dates of disposition.

(l) Names and by whom the report

In the case of stock or other interests listed on nationally known exchanges, the information required by items (d) and (l) inclusive, need not be reported, but reference should be made to that fact and the name of the exchange given.

INFORMATION WITH RESPECT TO ALL SHARES OF STOCK OR OTHER INTERESTS HELD BY THE REPORTING INDIVIDUAL, DIRECTLY OR INDIRECTLY, IN ANY MANNER ENGAGED IN

(d) Par or stated value of stock.	(e) Date of issue of bonds or interests other than stocks.	(f) Date of maturity of bonds, notes or interests other than stocks.	(g) Interest rate of bonds, notes or interests other than stocks.	(h) Description of conversion rights, if any.
-----------------------------------	--	--	---	---

addresses of any persons for whom the interest is held by the reporting individual.

(m) Names and addresses of any persons for whom the interest is held by the reporting individual.

(n) If the interest is beneficially owned by the reporting individual, together with other persons, the nature of the relationship (co-partnership, trust, etc.)

AMON G. CARTER

Schedule C.

Name _____

INFORMATION WITH RESPECT TO ALL SHARES OF STOCK OR OTHER INTERESTS HELD BY THE REPORTING INDIVIDUAL, BENEFICIALLY OR OTHERWISE, DIRECTLY OR INDIRECTLY, IN ANY COMMON CARRIER.

- | | | |
|--|---|--|
| (a) Correct name of person in which the interest is or was held. | (b) Classes of stock or type and exact title of bond, note or other interest. | (c) Number of shares of each class of stock or principal amount of bonds, notes, or other interests. |
| _____ | _____ | _____ |

NONE

- | | | | |
|---|-----------------------------------|--|--|
| (i) Description of voting rights, if any. | (j) Date or dates of acquisition. | (k) If disposed of date or dates of disposition. | (l) Names and addresses by whom the reporting person was acquired. |
| _____ | _____ | _____ | _____ |

In the case of stock or other interests listed on nationally known exchanges, the information required by items (d) and (1) inclusive, need not be reported, but reference should be made to that fact and the name of the exchange given.

1) Par or stated value of stock. _____

(e) Date of issue of bonds or interests other than stocks. _____

(f) Date of maturity of bonds, notes or interests other than stocks. _____

(g) Interest rate of bonds, notes or interests other than stocks. _____

(h) Description of conversion rights, if any. _____

Names of any persons for whom interest is held for the reporting individual. _____

(m) Names and addresses of any persons for whom the interest is held by the reporting individual. _____

(n) If the interest is beneficially owned by the reporting individual, together with other persons, the nature of the relationship (co-partnership, trust, etc.) _____

Name _____

INFORMATION WITH RESPECT TO ALL SHARES OF STOCK OR OTHER INTERESTS HELD BY THE REPORTING INDIVIDUAL, BENEFICIALLY OR OTHERWISE, DIRECTLY OR INDIRECTLY, IN ANY PERSON WHOSE PRINCIPAL BUSINESS IN PURPOSE OR IN FACT IS THE HOLDING OF STOCK IN, OR CONTROL OF, AIR CARRIERS, OTHER PERSONS ENGAGED IN ANY PHASE OF AERONAUTICS, OR COMMON CARRIERS.

(a) Correct name of person in which the interest is or was held.

(b) Classes of stock or type and exact title of bond, note or other interest.

(c) Number of shares of each class of stock or principal amount of bonds, notes, or other interests.

NONE

NONE

(i) Description of voting rights, if any.

(j) Date or dates of acquisition.

(k) If disposed of date or dates of disposition.

(l) Names and by whom the report

(d) Par or
stated
value of
stock.

(e) Date of
issue of
bonds or
interests
other than
stocks.

(f) Date of
maturity of
bonds, notes
or interests
other than
stocks.

(g) Interest
rate of
bonds, notes
or interests
other than
stocks.

(h) Description of conversion
rights, if any.

Names of any persons
for whom the interest is held for
individual.

(m) Names and addresses of any persons
for whom the interest is held by
the reporting individual.

(n) If the interest is beneficially
owned by the reporting individual
together with other persons, the
nature of the relationship
(co-partnership, trust, etc.)

Please sign A G Carter
where pencil X
mark is on each
of these 2 affidavits

C.A.A. Form No. ER-1
Adopted October 3, 1939.

REPORT OF OWNERSHIP OF STOCK
AND OTHER INTERESTS REQUIRED
BY SECTION 407(c) OF THE ACT

INSTRUCTIONS

A. Section 407(c) of the Civil Aeronautics Act of 1938 provides as follows:

"Each officer and director of an air carrier shall annually and at such other times as the Authority shall require transmit to the Authority a report describing the shares of stock or other interests held by him in any air carrier, any person engaged in any phase of aeronautics, or any common carrier, and in any person whose principal business, in purpose or in fact, is the holding of stock in, or control of, air carriers, other persons engaged in any phase of aeronautics, or common carriers."

B. Reports shall be filed annually on or before March 1st of each year, and shall be transmitted by each individual who was at any time during the preceding calendar year and at the time of making the report an officer or director of any air carrier. Such reports shall cover stocks and other interests held by such individuals at any time during the preceding calendar year in the persons mentioned in section 407(c) of the Act, but need not cover any portion of said preceding calendar year covered by the reporting individual in any previous report filed pursuant to paragraph D hereof. However, the initial report filed on or before March 1, 1940, shall be transmitted by each individual who was at any time during the period from August 22, 1938 to December 31, 1939, inclusive, and at the time of making the report, an officer or director of any air carrier. Such initial report shall cover stocks and other interests held by such individuals at any time during the period from August 22, 1938 to December 31, 1939, inclusive, in the persons mentioned in section 407(c) of the Act.

C. From and after January 1, 1940, each individual who is appointed or elected to the position of officer or director of any air carrier, and who has not transmitted to the Authority a report covering the preceding calendar year, shall transmit to the Authority, within 30 days after such appointment or election, a report covering the stocks and other interests held by him in the persons mentioned in section 407(c) of the Act at any time from the beginning of the preceding calendar year to and including the date of the report. However, such report need not cover any portion of the preceding calendar year as may have been covered by the reporting individual in any previous report filed pursuant to this paragraph.

D. Upon good cause shown, the Authority may grant an extension of time for the filing of any report required to be filed hereunder.

E. Each report shall be prepared in triplicate. Two copies, which shall be properly executed and verified in accordance with the attached form of oath, shall be transmitted to the Bureau of Economic Regulation, Civil Aeronautics Authority, Washington, D. C. The third copy should be retained by the reporting individual for further reference in connection with correspondence with the Authority relating thereto.

F. Reports should be prepared on strong, durable paper 8-1/2" by 10" in size, except that schedules may be larger but folded to that size.

G. The cover page of each report shall be in the form attached, designated "Form of cover page."

H. Insofar as practicable, reports should be typewritten, but if pen and ink are used, the ink should be black and of durable quality. All reports must be plainly legible.

I. The information called for by each item should be fully and accurately reported. Each response shall bear the same numerical or alphabetical designation as the item calling for the information. Comprehensive but succinct statements of the reporting individual's reasons for not fully reporting any information called for should be given. Where the response to a particular item is "none," or where the item is not applicable, that fact should be so stated.

J. The reporting individual shall report direct and indirect interests, beneficial and non-beneficial interests, including interests (1) beneficially owned by him and held for him by any other person either in a "street name," or as trustee, or in any other capacity (2) beneficially owned by any other person and held by the reporting individual either as trustee, nominee, or in any other capacity (3) beneficially owned by the reporting individual and other persons (including but not limited to co-partnerships, trusts, joint tenancies, etc.)

K. In reporting interests in persons "whose principal business, in purpose or in fact, is the holding of stock in, or control of air carriers, other persons engaged in any phase of aeronautics, or common carriers," the reporting individual shall include all interests in any persons whose principal business, in purpose or in fact, is dealing in stocks of air carriers, other persons engaged in any phase of aeronautics, or common carriers.

L. In reporting the name of any corporation, the exact corporate name shall be used.

M. As used in this form:

(1) The term "interest" includes any type of security, including stocks, bonds, notes, debentures, evidence of indebtedness, or any options, warrants, or rights to subscribe to any stocks, as well as any other pecuniary or proprietary interest of any nature whatsoever. Each interest shall be fully and adequately described in each schedule.

(2) The term "person" has the meaning defined in the Civil Aeronautics Act of 1938 (any individual, firm, co-partnership, corporation, company, association, joint stock association, or body politic; and includes any trustee, receiver, assignee, or other similar representative thereof.)

(3) Unless the context otherwise requires, other words and phrases have the meaning defined in such Act.

N. All records of air carriers or of officers and directors of air carriers containing the information called for in the attached form of report shall be maintained by the reporting individual in such manner as to be readily accessible, and shall be made available to the Authority or its duly authorized representative upon request.

FORM OF COVER PAGE

REPORT OF OWNERSHIP OF STOCK AND OTHER INTERESTS UNDER SECTION 407(c) OF THE CIVIL AERONAUTICS ACT OF 1938.

BY

(Name of officer or director)

(Post Office Address)

(Title of position) OF (Name of air carrier)

(Title of position) OF (Name of air carrier)

TO THE

CIVIL AERONAUTICS AUTHORITY

WASHINGTON, D. C.

FOR THE PERIOD

BEGINNING AND ENDING

INFORMATION TO BE REPORTED

1. Name and address of reporting individual.
2. Name of air carrier or air carriers and title of position or positions held therein.
3. Occupation of reporting individual.
4. On separate sheets which shall be designated as Schedule A, B, C, and D, respectively, give the following information with respect to all shares of stock or other interests held by the reporting individual, beneficially or otherwise, directly or indirectly, (A) in any air carrier, (B) in any person engaged in any phase of aeronautics (C) in any common carrier, and (D) in any person whose principal business in purpose or in fact is the holding of stock in, or control of, air carriers, other persons engaged in any phase of aeronautics, or common carriers:
 - (a) Correct name of person in which the interest is or was held;
 - (b) Classes of stock or type and exact title of bond, note, or other interest;
 - (c) Number of shares of each class of stock, or principal amount of bonds, notes, or other interests;
 - (d) Par or stated value of stock;
 - (e) Date of issue of bonds, notes, or interests other than stocks;
 - (f) Date of maturity of bonds, notes or interests other than stocks;
 - (g) Interest rate of bonds, notes or interests other than stocks;

- (h) Description of conversion rights, if any;
- (i) Description of voting rights, if any;
- (j) Date or dates of acquisition;
- (k) If disposed of, date or dates of disposition;
- (l) Names and addresses of any persons by whom the interest is held for the reporting individual;
- (m) Names and addresses of any persons for whom the interest is held by the reporting individual;
- (n) If the interest is beneficially owned by the reporting individual together with other persons, the nature of the relationship (co-partnership, trust, etc.)

In the case of stock or other interests listed on nationally known exchanges, the information required by items (d) to (i) inclusive, need not be reported, but reference should be made to that fact and the name of the exchange given.

FORM OF OATH

STATE OF)
) SS:-
COUNTY OF)

I, _____,
(Name of affiant)

_____ OF _____
(Title of position) (Name of air carrier)

and

_____ OF _____
(Title of position) (Name of air carrier)

do on my oath declare that the foregoing report, together with the sheets attached thereto marked _____

have been prepared by me, or at my direction and under my general supervision, from books and records and from such other sources of information as were necessary for complete and accurate preparation of such report; that I have carefully examined or caused to be examined each and every answer or statement herewith submitted; that, to the best of my knowledge, information and belief, all of said answers and statements are true and correct, and completely state all relevant and material facts now available from the aforesaid books, records, and other sources of information; that each and every question is fully and completely answered, except as otherwise described and explained, and that I, or others at my direction and under my general supervision, have made diligent efforts to obtain all facts necessary to make each and every answer full and complete.

Subscribed and sworn to before me, a _____
in and for the State and County above named, this _____ day of _____, 19__.

(Signature of officer authorized to administer oaths.)

(SEAL)

My commission expires _____