

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-266-91-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 2/10/2023

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 11 is active

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

N1-266-91-001 / 1 and 2 are superseded by N1-266-09-004 , item 3 and 4

N1-266-91-001 / 3 and 4 were withdrawn before the schedule was approved

N1-266-91-001 / 5 is superseded by N1-266-99-003, item 2

N1-266-91-001 / 6 is superseded by DAA-0266-2021-0005-0001

N1-266-91-001 / 7 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 8/a is superseded by DAA-0266-2021-0007-0001

N1-266-91-001 / 8/b is superseded by DAA-0266-2021-0007-0001

N1-266-91-001 / 8/c is superseded by DAA-0266-2021-0007-0001

N1-266-91-001 / 9/a is superseded by DAA-0266-2021-0007-0001

N1-266-91-001 / 9/b is superseded by DAA-0266-2021-0007-0001

N1-266-91-001 / 9/c is superseded by DAA-0266-2021-0007-0001

N1-266-91-001 / 10/a is superseded by DAA-0266-2021-0007-0001

N1-266-91-001 / 10/b is superseded by DAA-0266-2021-0007-0001

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N1-266-91-001 / 10/b is superseded by DAA-0266-2021-0007-0001

N1-266-91-001 / 12 - 16 withdrawn before the schedule was approved

N1-266-91-001 / 17 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 18 - 22 withdrawn from the schedule before it was approved.

N1-266-91-001 / 23 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 24 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 25 is obsolete because the agency no longer creates these records

N1-266-91-001 / 26 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 27 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 28 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 29 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 30 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 31 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 32 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 33 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 34 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 35 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 36 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 37 is superseded by DAA-0266-2013-0004-0001 and 0002

N1-266-91-001 / 38 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 39 - 40 were withdrawn prior to schedule approval

N1-266-91-001 / 41 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 42 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 43/1 is superseded by DAA-0266-2021-0007-0005

N1-266-91-001 / 43b is superseded by N1-266-94-001, Item 003

N1-266-91-001 / 045 is superseded by DAA-0266-2021-0005-0001

N1-266-91-001 / 046 is superseded by DAA-0266-2021-0005-0001

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK

JOB NO.

N1-266-91-1

DATE RECEIVED

5-23-91

TO: GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (Agency or establishment)

Securities and Exchange Commission

2. MAJOR SUBDIVISION

Office of Filings, Information & Consumer Services

3. MINOR SUBDIVISION

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.

4. NAME OF PERSON WITH WHOM TO CONFER

Suzanne L. McHugh

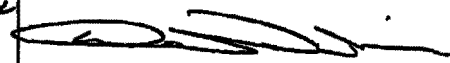
5. TELEPHONE EXT.

272-7210

DATE

12-21-92

ARCHIVIST OF THE UNITED STATES



6. CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 12 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: ☐ is attached; or ☐ is unnecessary.

B. DATE

5/10/91

C. SIGNATURE OF AGENCY REPRESENTATIVE

Suzanne L. McHugh

D. TITLE

Records Officer

7.
ITEM
NO.

8. DESCRIPTION OF ITEM
(With Inclusive Dates or Retention Periods)

9. GRS OR
SUPERSEDED
JOB
CITATION

10. ACTION
TAKEN
(NARS USE
ONLY)

This request for records disposition authority covers those records which were contingent, changed in disposition authority, or were not covered by the GRS. A justification table of retention values with the schedule item number and key file number assignments has also been included.

"This certifies that the records described on this form were and will be microfilmed in accordance with the standards set forth in 36 CFR Part 1230"

09-25-92
OK
per Suzanne McHugh
SEC Records Officer

Copies sent to agency, NN-W, NNT, NCF, NIA 1/4/93

REVISED

| ITEM NO | DESCRIPTION | DISPOSITION | JOB NUMBER |
|---------|--|--|--|
| 1 | Investigative Case Files (also known as "complaint cases" and "general assignment files"), including case files relating to preliminary investigations. | Temporary. Cutoff when case is closed. Transfer to FRC and destroy 25 years after cutoff. | NC1-266-76-1-1 <i>Item resubmitted. Please see NI-266-91-2</i> WITHDRAWN |
| 2 | Inactive Investigation Case Files. For purposes of record retention and disposition, a case is considered inactive when a significant additional expenditure of Commission resources is neither scheduled nor anticipated. Examples of common occurrences of case inactivity are: (1) the subject of the case is a fugitive from justice; or (2) the Commission case is substantially complete but for (a) a distribution, repayment or similar plan that is scheduled to occur over time, with no anticipated need for further Commission action, or (b) a pending criminal proceeding related to the Commission's case that does not actively involve the Commission. | Temporary. Transfer to FRC when the Commission determines the case is inactive. Destroy 25 years after transfer to FRC. | NC1-266-76-1-2 <i>Item resubmitted. Please see NI-266-91-2</i> WITHDRAWN |
| 3 | 2-00-1,-3,-4,-5 Registration statements and amendments thereto and Commission orders fixing effective date(s) and/or consenting to withdrawal of registration statement(s) or amendment(s) and related correspondence (Regulation C) (Forms S-1, S-2 or equivalent.) (17 CFR 230.400 et seq.) Maintained in microform and paper. | 1. Permanent. a. Silver Roll Microfiche - Retire to FRC immediately. After 5 years, transfer to NARA. b. Diazo Microfiche - Out off annually. Retain in-house 5 years. Transfer to FRC. Then transfer to NARA when 30 years old. 2. Correspondence: Out off annually. Retain in-house 3 years. Transfer to FRC. Destroy | NC1-266-83-5-1 |

07/21/92

REVISED

| ITEM NO | DESCRIPTION | DISPOSITION | JOB NUMBER |
|---------|---|---|-----------------|
| 4 | 24-00-1, -3, -4, -5 Notification of exemption from registration (Regulation A) (Forms 1-A through 6-A) (17 CFR 230.251 et seq.) (Commission orders terminating or abandoning Offering Statement under Regulation A. Maintained in microform and paper. | from cut off when 30 years old Temporary. Out off after completion or termination of offering or order of the Commission permanently suspending exemption, whichever comes first. Destroy 10 years from final action. | NC1-266-77-2-2 |
| 5 | 9-00-1, -3 Notice of proposed resale of restricted securities and resale of securities by control persons (Form 144 adopted April, 1972) (17 CFR 230.144). Maintained in microform and paper. | Temporary. Out off annually. Retain in-house 3 years and transfer to Federal Records Center (FRC). Destroy 18 years from transfer cut off. | NC1-266-77-2-6 |
| 6 | 92-00-1, -3 Application for relief from disability - Regulation A and related correspondence (17 CFR 230.252(f)). Maintained in microform and paper. | Temporary. Out off when final action on appeal is taken. Retain file in-house 3 years and transfer to Federal Records Center (FRC). Destroy 10 years from final action cut off. | NC1-266-82-1-2 |
| 7 | 95-00-1, -3 Notification of exemption for securities issued by a Small Business Investment Company (Forms 1-E, 2-E) and related correspondence (17 CFR 230.601). Maintained in microform and paper. | Temporary. Out off after completion or termination of offering or order of Commission permanently suspending exemption, whichever comes first. Retain file in-house 3 years and transfer to FRC. Destroy 5 years from final action cut off. | NC1-266-83-5-5 |
| 8 | 2-00-2 Periodic reports - e.g. Forms 10-K, 11-K, 12-K, 18-K, 19-K, 20-F, 10-Q, 6-K, or 8-K. | Permanent. a. Silver Roll Microfiche - Retire to FRC immediately. After 5 years Transfer to NARA when 30 years old | NC1-266-77-2-13 |

REVISED

| ITEM NO | DESCRIPTION | DISPOSITION | JOB NUMBER |
|---------|---|--|---|
| | Maintained in microform. | | C. Reports maintained solely in paper (1935-1980 and 1992-1998)-Cut off annually. Transfer when 30 years old - Lauren Crisler, 1/13/14 |
| 9 | 0-00-2, 1-00-2 Annual, quarterly, current reports (Forms 10-K, 18-K, 19-K, 20-F, USS, N-1R, 10-Q) (17 CFR 240.13a-1, 2, 10, 13). Maintained in microform. | Permanent. a. Silver Roll Microfiche - Retire to FRC immediately. After 5 years, Transfer to NARA when 30 years old. b. Diazo Microfiche - Cut off annually. Retain in-house 5 years. Transfer to FRC. Retain 30 years, then transfer to NARA. | NC1-266-77-2-17 C. Reports maintained solely in paper (1935-1980 and 1992-1998)-Cut off annually. Transfer when 30 years old - Lauren Crisler, 1/13/14 |
| 10 | 0-00-2, 1-00-2 Proxy soliciting material (17 CFR 240.14a). Maintained in microform. | Permanent. a. Silver Roll Microfiche - Retire to FRC immediately. After 5 years, Transfer to NARA. b. Diazo Microfiche - Cut off annually. Retain in house 5 years. Transfer to FRC. Retain for 30 years, then transfer to NARA. | NC1-266-77-2-18 C. Reports maintained solely in paper (1935-1980 and 1992-1998)-Cut off annually. Transfer when 30 years old - Lauren Crisler, 1/13/14 |
| 11 | 5-1, 5-2, 5-3, 5X Acquisitions, tender offers and solicitations (Schedules 13D, 14D) (17 CFR 240.13d-1, 240.14d-1, 240.14f-1). Maintained in microform and paper. | Temporary. Cut off annually. Retain in house 3 years. Transfer to FRC. Destroy when 20 years old. | NC1-266-82-1-4 |
| 12 | 8-00-1, -2, -2A, -2B, -3, -4, -5 Applications for registration as broker, dealer, municipal securities broker, or government securities broker or dealer and related reports (Forms BD, BDW, X-17A-5, 7-M, | Temporary 1. Form X-17-a-5: Cut off annually. Retain in-house 3 years; transfer to FRC for additional 7 years, then destroy. Permanent | NC1-266-77-2-23 WITHDRAWN |

REVISED

| ITEM NO | DESCRIPTION | DISPOSITION | JOB NUMBER |
|---------|---|---|----------------------------------|
| | 8-M, 9-M, 10-M) (17 CFR 240.15b1-1 through 15b6-1, 15c1-1 through 15c1-1, 17a-5, 17a-17(a), 17a-7(b)(1); 17CFR 249.501, 501a, 507, 508, 509 and 510) and related correspondence. Commission orders fixing effective dates of broker-dealer registration application(s). Maintained in microform and paper. | 2. a. Out off when a B/D's withdrawal from registration becomes effective. Retain in-house for 10 years; transfer to FRC for additional 10 years, then transfer to NARA for permanent retention. b. Correspondence. Out off annually. Retain in-house 3 years. Transfer to FRC. Destroy 20 years after transfer, from cut off. | |
| 13 | 8-00-9 Uniform application for securities and commodities industry representative and/or agent; certification for associated persons engaged in securities activities outside the jurisdiction of the United States; annual assessment form for registered brokers and dealers not members of a registered national securities association. (Forms U-4, SEDD 2-F, SEDD-4, 5) (17 CFR 240.15b8-1, 15b9-1, 2). Maintained in microform. | Permanent. Out off when a B/D's withdrawal from registration becomes effective. Retain in-house 10 years. Send to FRC for 10 years, then transfer to NARA for permanent retention. | NC1-266-77-2-28 WITHDRAWN |
| 14 | 10-00-1.-2,-3,-6,-9,-10 Applications by an exchange for registration as a national securities exchange (Forms 1, 1A) (17 CFR 240.6a-1, 2, 3); correspondence, inspection reports and related materials. Maintained in paper. | Permanent. a. Out off after exchange no longer is registered with the Commission. Retain inspection reports and related materials in-house for 3 years. Then transfer to NARA for permanent retention when 25 years old. b. Correspondence. Out off annually. Retain in-house 3 years. Transfer to FRC. Destroy when 25 years old. From cut off. | NC1-266-82-1-5 |

REVISED

| ITEM NO | DESCRIPTION | DISPOSITION | JOB NUMBER |
|---------|--|--|----------------------------------|
| 15 | 16-1, -3 Application for registration as a national securities association or affiliated securities association (Forms X-15AA-1, X-15AJ-1, 2) (17 CFR 240.15Aa-1, 15Aj-1) amendments, supplements and related correspondence. Maintained in paper. | Permanent. a. Cut off when Association no longer is registered. Retain in-house for 15 years; transfer to FRC for 10 years; then transfer to NARA permanently. b. Correspondence: Cut off annually. Retain in-house 3 years. Transfer to FRC. Destroy 20 years after transfer. <i>from cut off.</i> | NC1-266-82-1-7 WITHDRAWN |
| 16 | 600-1, -3, -4 Applications for registration as a (non-Bank) clearing agency, amendments thereto and notices concerning fingerprinting requirements (Form CA-1) (17 CFR 240.17Ab2-1; 17 CFR 249b.200). Maintained in microform and paper. | Permanent. a. Cut off when clearing agency no longer is registered with the Commission. Retain in-house 10 years. Transfer to FRC for 10 years; then transfer to NARA for permanent retention. b. Correspondence: Cut off annually. Retain in-house 3 years. Transfer to FRC. Destroy 20 years after transfer. <i>from cut off.</i> | NC1-266-77-2-36 WITHDRAWN |
| 17 | 601-00-1, -3 Applications for exemption from registration as a (non-bank) clearing agency and related correspondence. Maintained in <u>paper</u> . <i>1 cubic foot/year</i> | Temporary. Cut off when clearing agency no longer has reporting requirements. Retain in-house 10 years. Transfer to FRC and destroy 20 years after cut off. | NC1-266-77-2-37 |
| 18 | 86-00-1, -3 Application for registration as a municipal securities dealer which is a bank or separately identifiable department or division of a bank (Form MSD) (17 CFR 240.15Ba2-1 through 15Ba2-5; 17 CFR 249.1100), and related correspondence. | Permanent. a. Cut off after municipal securities dealer no longer is registered with the Commission. Retain in-house for 15 years; transfer to FRC for 5 years; then transfer to NARA for permanent retention. | NC1-266-77-2-38 WITHDRAWN |

REVISED

| ITEM NO | DESCRIPTION | DISPOSITION | JOB NUMBER |
|---------|---|--|----------------------------------|
| | Adoption of applications filed by predecessors (17 CFR 240.15Ba2-6). | b. Correspondence: Cut off annually. Retain in-house 3 years. -- Transfer to FRC. Destroy 20 years after transfer. cut off. | |
| | Notices of withdrawal from registration as municipal securities dealers (Forms MSDW)(17 CFR 240.15Bc3-1; 17 CFR 249.1110). | | |
| | Commission orders fixing effective dates of municipal securities dealer registration applications. | | |
| | Maintained in microform and paper. | | |
| 19 | 87-00-1, -3 Application for registration as a securities information processor and amendments thereto (Form SIP) (17 CFR 240.11Ab2-1, 11Ab2-2) (17 CFR 249.1101), and related correspondence. Maintained in paper. | Permanent. a. Cut off after securities information processor no longer is registered. Retain in-house 10 years; transfer to FRC for 10 years; then transfer to NARA for permanent retention. | NC1-266-82-1-9 WITHDRAWN |
| 20 | 88-00-1, -3 Application for exemption as a securities information processor (17 CFR 240.11AB2-1(c)) and related correspondence. Maintained in paper. | Permanent. Cut off after securities information processor no longer has reporting requirements to Commission. Retain in-house 15 years; then transfer to FRC for 5 years; then transfer to NARA for permanent retention. | NC1-266-77-2-40 WITHDRAWN |
| 21 | 84-00-1, -3, -4 Application for registration as a transfer agent (non-bank) and amendments thereto (Form TA-1) (17 CFR 240.17A2-1; 17 CFR 249b.100) and related correspondence. | Permanent. a. Cut off after transfer agent no longer is registered. Retain in-house for 10 years; transfer to FRC for 10 years; then transfer to Archives for permanent retention. | NC1-266-82-1-10 WITHDRAWN |
| | Notices of withdrawal for | b. Correspondence: | |

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|---------|---|--|---|
| | <p>registration as transfer agents (Form TA-W) (17 CFR 240.17Ac3-1).</p> <p>Maintained in microform and paper.</p> | <p>Out off annually. Retain in-house 3 years. Transfer to FRC. Destroy 17 years after transfer.</p> | |
| 22 | <p>85-00-1, -3</p> <p>Application for registration as a transfer agent (bank) and amendments thereto (Form TA-1). These are copies of forms filed with agencies indicated. On November 19, 1975, file numbers were allocated and will be assigned by the following organizations: Federal Deposit Insurance Corp., 85-1 through 85-4999; Federal Reserve System, 85-5000 through 85-9999; Comptroller of the Currency, 85-10,000 through 85-19,999, and related correspondence.</p> | <p>Permanent. a. Out off until Transfer Agent is no longer registered with the Commission. Retain in-house 10 years; transfer to FRC for 10 years; then transfer to NARA permanently.</p> <p>b. Correspondence: Out off annually. Retain in-house 3 years. Transfer to FRC. Destroy 17 years after transfer.</p> | <p>NC1-266-77-2-42</p> <p>WITHDRAWN</p> |
| 23 | <p>70-00-1, -3</p> <p>Applications and Declarations pursuant to Sections 6(b), 7, 9, 9(c)(3), 10, 12(b), 12(c), 12(d), 12(f) and applicable rules thereunder (Form U-1) (17 CFR 250.22, 42, 43, 44-46, 50) (17 CFR 259.101), and related correspondence.</p> <p>Commission order(s) and notices relating to applications or declarations on Form U-1.</p> <p>Maintained in <u>microform</u> and paper.</p> | <p>Temporary. Out off when closed. Transfer to FRC. Destroy 3 years after transfer. cut off.</p> | <p>NC1-266-77-2-44</p> |
| 24 | <p>50-00-1, -3</p> <p>Order granting or withdrawing exemptions from rules and related correspondence.</p> | <p>Temporary. Out off when closed. Transfer to FRC. Destroy 3 years after date of transfer. cut off.</p> | <p>NC1-266-77-2-45</p> |

1 cubic foot/year

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|---------|--|--|-----------------|
| | Maintained in microform and <u>paper.</u> | <i>1 cubic foot/year</i> | |
| 25 | 52-00-1, -3 Application for approval of reorganization under Section 11(f) of the Act and related correspondence. Maintained in <u>paper.</u> | Temporary. Out off when closed. Transfer to FRC. Destroy 3 years after cut off <u>transfer.</u> | NC1-266-77-2-46 |
| | | <i>1 cubic foot/year</i> | |
| 26 | 54-00-1, -3 Divestment of securities, assets or control Section 11(e) of the Act and related correspondence. Maintained in <u>microform and paper.</u> | Temporary. Out off when closed. Transfer to FRC. Destroy 3 years after cut off <u>transfer.</u> | NC1-266-77-2-47 |
| | | <i>1 cubic foot/year</i> | |
| 27 | 55-00-1, -3 Application for approval of fees incurred in connection with plan under Section 11(f) of the Act and related correspondence. (17 CFR 250.63). Maintained in <u>paper.</u> | Temporary. Out off when closed. Transfer to FRC. Destroy 3 years after cut off <u>transfer.</u> | NC1-266-77-2-48 |
| | | <i>1 cubic foot/year</i> | |
| 28 | 59-00-1, -3 Simplification of corporate structure, Sections 11(b)(1) and (2) of the Act and related correspondence. <u>Maintained in microform and paper.</u> (*) A file is "closed" when the transaction(s) proposed and/or other issues raised are finally resolved by an appropriate Commission order which does not expressly reserve jurisdiction with respect to any further matters, and the applicant or declarant has consummated such transaction(s) or taken such other steps as may be required to fully comply with the terms | Temporary. Out off when closed. Transfer to FRC. Destroy 3 years after cut off <u>transfer.</u> | NC1-266-77-2-49 |
| | | <i>1 cubic foot/year</i> | |

REVISED

| ITEM NO | DESCRIPTION | DISPOSITION | JOB NUMBER |
|---------|---|---|-----------------|
| | and conditions imposed by the Commission in its order. | | |
| 29 | 40-00-1, -3 Certificates of notification by registered holding companies and subsidiaries, of security issues exempted from Section 6(a) by Section 6(b) or exempt under Rule 47(b) and not the subject of an order of the Commission. (Form U-6B-2) (17 CFR 250.47(b); 17 CFR 259.206), and related correspondence. Maintained in <u>microform</u> and paper. | Temporary. Cut off annually. Retain in-house 2 years. Transfer to FRC. Destroy 3 years after <u>cut off</u> . transfer . <i>1 cubic foot/year</i> | NC1-266-77-2-51 |
| 30 | 12-1, 12-1-1 Statements pursuant to Section 12(i) by persons employed or retained by a registered holding company or subsidiary thereof (Forms U-12(I)-A & B) (17 CFR 250.71(a) & (b); 17 CFR 259.212a & 212b), and related correspondence. Maintained in <u>microfiche</u> and paper. | Temporary. Cut off annually. Retain in-house 1 year. Transfer to FRC. Destroy 2 years after <u>cut off</u> . transfer . <i>1 cubic foot/year</i> | NC1-266-77-2-52 |
| 31 | 38-00-1, -3 Statement under Rule 70(a)(1) executed by financial institution authorizing representative to serve as officer/director of holding company, filed by representative (17 CFR 250.70(a)(1)). <i>paper</i> | Temporary. Cut off when officer/director no longer serves. Retain in-house 2 years. Transfer to FRC. Destroy 3 years after <u>cut off</u> . transfer . <i>1 cubic foot/year</i> | NC1-266-77-2-53 |
| 32 | 62-00-1, -3 Report by an affiliate service company or one engaged principally in the performance of services (Form U-13E-1) (17 CFR 250.95; 17 CFR 259.213.), and related correspondence. Maintained in microform and | Temporary. Cut off after service company no longer is part of a registered holding company system. Retain in-house 2 years. Transfer to FRC. Destroy 2 years after <u>transfer cut off</u> . | NC1-266-77-2-54 |

REVISED

| ITEM NO | DESCRIPTION | DISPOSITION | JOB NUMBER |
|---------|--|--|-----------------|
| | paper. | | |
| 33 | 49-00-1, -3 Annual report by mutual and subsidiary service companies (Form U-13-60) (17 CFR 250.94; 17 CFR 259.313), and related correspondence. Maintained in microform and paper. | Temporary. Out off when service company no longer is part of a registered holding company system. Retain in-house 5 years. Transfer to FRC. Destroy 15 years after transfer. cut off. 1 cubic foot/year | NC1-266-77-2-59 |
| 34 | 31-00-1, -3 Statement of exemption from the Act by Commission order (17 CFR 250.7(b)(4)), and related correspondence. Maintained in microform and paper. | Temporary. Out off when company no longer relies on exemption. Retain in-house 5 years and then transfer to FRC. Destroy 10 years after transfer. cut off. 1 cubic foot/year | NC1-266-77-2-62 |
| 35 | 22-00-1, -3 Statements of eligibility and qualification of corporations or individuals as trustees under qualified indenture under which debt security has been or is to be issued and exemptions thereto (Forms T-1, T-2, T-3, T-4) (17 CFR 260.5a-1(a), (b), 7a-1, 5a-1; 17 CFR 269.1, 2, 3, 4), and related correspondence. Maintained in microform and paper. | Temporary. Out off when the indenture is terminated or cancelled. Retain in-house 3 years and then transfer to FRC. Destroy 30 years from transfer. 1 cubic foot/year | NC1-266-77-2-63 |
| 36 | 812-00-1, -3 Application by foreign management investment companies for order permitting registration (17 CFR 270.7d-1), and related correspondence. | Temporary. Out off after registrant no longer has reporting requirement. Retain in-house 3 years and transfer to FRC. Destroy 33 years after transfer. cut off. | NC1-266-77-2-68 |

REVISED

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|---------|--|--|-----------------|
| | Commission notices and orders for exemptive relief. | | |
| | Maintained in microfiche and paper. | | |
| 37 | B-00-3X Examination/Inspection reports of brokers and dealers, investment companies and investment advisors. Maintained in paper. | Temporary. 1. Examination Reports: a. HOME OFFICE. Out off after last broker-dealer/investment advisor examination/inspection. Transfer immediately to FRC. Destroy 13 years after transfer. <i>cut off.</i> b. REGIONAL OFFICES. Out off after last broker-dealer/investment advisor examination/inspection. Transfer immediately to FRC. Destroy 13 years after transfer. <i>cut off.</i> 2. Examination Workpapers: Retain in regional office for 1 year; transfer to FRC. Destroy 13 years after transfer. <i>cut off.</i> | NC1-266-77-2-86 |
| 38 | B-00-2A Annual audit report (fiscal or calendar year basis) (Forms X-17A-5) (NON-PUBLIC) Supplemental report detailing Securities Investor Protection Corporation assessment payment or overpayments (Rule 17a-5) (NON-PUBLIC) Maintained on <u>microform</u> . | Temporary. Out off when broker-dealer no longer registered with Commission. Retain in-house for 3 years. Transfer to FRC and destroy 13 years after transfer. <i>cut off.</i> | NC1-266-79-2-17 |
| 39 | 26-00-1 Plans by exchanges authorizing payment of special commission | Permanent. Out off when exchange no longer registered with Commission. | NC1-266-79-2-32 |

2 cubic feet/year

60 cubic feet/year

4 cubic feet/year

WITHDRAWN

REVISED

| ITEM NO | DESCRIPTION | DISPOSITION | JOB NUMBER |
|---------|--|--|----------------------------------|
| | in connection with a distribution of securities on exchanges (Rule 10b-2(d)). Maintained in paper. | Retain in-house for 15 years; transfer to FRC for 5 years; then transfer to NARA for permanent retention. | |
| 40 | 80-00-1 Annual and supplemental reports of Municipal Securities Rulemaking Board (Rule 17a-21). Maintained in paper. | Permanent. Cut off annually. Retain in-house for 10 years; transfer to FRC for 10 years; then transfer to NARA for permanent retention. | NC1-266-79-2-34 WITHDRAWN |
| 41 | 25-00-1 Applications relative to affiliations between trustees and underwriters (Rule 10b-3). Maintained in paper. | Temporary. Cut off when applicable indenture is terminated or cancelled. Retain in-house 3 years and then transfer to FRC. Destroy 30 years after cut off. transfer. | NC1-266-79-2-68 |
| 42 | 813-00-1 Applications for exemption of an employee's security company (Section 6(b)). Maintained in microform. | Temporary. Cut off after registrant no longer has reporting requirement. Retain in-house 3 years and then transfer to FRC. Destroy 30 years after cut off. transfer. | NC1-266-79-2-74 |
| 43 | 801-00-1, -3 Application for registration as investment adviser and related correspondence. a. Forms ADV, ADV-S, ADV-W, 5-R, 6-R, 7-R (17 CFR 275.203-1, 275.203-2, 275.204-1; 17 CFR 279.1 through 279.7) Maintained in microform and paper. | Temporary. Cut-off after investment adviser no longer registered. Retain in-house 3 years and then transfer to FRC. Destroy 59 years after transfer. cut off. | NC1-266-84-5-1 |
| 0 | 801-00-1, -3 b. Correspondence that contains substantial information about applications for registration as investment | Temporary. Cut-off at the end of calendar year. Transfer to FRC when three years old. Destroy 10 years after transfer to FRC. | |

1 cubic foot/year

2 cubic feet/year

14 cubic feet/year

300-400 cubic feet/year transferred in 3-6 accessions

REVISED

| ITEM NO | DESCRIPTION | DISPOSITION | JOB NUMBER |
|---------|---|--|------------|
| | adviser. | | |
| 45 | 89-00-1, -3 Waiver for Foreign Issuers furnished by American Depository Receipts a. Waiver - Information furnished by depositaries regarding foreign issuers for Form F-6 waiver of 12g3-2(b) reporting requirements; Annual Reports to Shareholders, F-6 Waiver, Proxy. Maintained in <u>microform and</u> paper. | Temporary. Out off annually. Transfer to FRC. Destroy 10 years from transfer. <i>cut off.</i> | |
| 46 | b. Other waivers. | Temporary. Out off annually. Transfer to FRC. Destroy 3 years from transfer. <i>cut off.</i> | |

3 cubic feet/year