

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-266-95-001**

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

### Description:

This schedule is superseded by N1-266-98-001, item 8

Date Reported:

N1-266-95-001

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

# REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
WASHINGTON, DC 20408

|   |                                       |
|---|---------------------------------------|
| 1. FROM (Agency or establishment)<br>Securities and Exchange Commission     |                                       |
| 2 MAJOR SUBDIVISION<br>Office of Filings and Information Services           |                                       |
| 3 MINOR SUBDIVISION<br>Office of Consumer Affairs                           |                                       |
| 4. NAME OF PERSON WITH WHOM TO CONFER<br>Suzanne L. McHugh, Records Officer | 5 TELEPHONE<br>202 942-8970<br>X-4655 |

LEAVE BLANK (NARA use only)

|   |  |
|---|--|
| JOB NUMBER<br>NI-266-95-1   |  |
| DATE RECEIVED<br>7-20-95  |  |
| NOTIFICATION TO AGENCY<br><br>In accordance with the provisions of 44 U S C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 |  |
| DATE FOR<br>8/17/95   | ARCHIVIST OF THE UNITED STATES<br>James M. Moore |

## 6 AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 1 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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required;  is attached; or  has been requested.

| DATE          | SIGNATURE OF AGENCY REPRESENTATIVE | TITLE           |
|---------------|------------------------------------|-----------------|
| July 13, 1995 | <i>Suzanne L. McHugh</i>           | Records Officer |

| 7 ITEM NO. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION  | 9. GRS OR SUPERSEDED JOB CITATION | 10 ACTION TAKEN (NARA USE ONLY) |
|------------|--|-----------------------------------|---------------------------------|
|            | <p>This request for disposition authority is for an exception to the General Records Schedule (GRS) 14, Item 5.</p> <p>The Office of Consumer Affairs is responsible for the Commission's consumer protection program. This includes implementation of a nationwide system for resolution of investor disputes; improving and upgrading the Commission's complaint processing effort; and together with the Office of General Counsel and Division of Enforcement recommend cases in which the Commission might seek to appear as amicus curiae.</p> <p>For these reasons and due to the potential investigatory nature of this information, an exception to GRS 14, Item 5 is requested. See attached on following page as recommended disposition authority.</p> <p><i>Copies sent to agency. NCF, GRS 8/31/95</i></p> |                                   |                                 |

## 1. Complaint Correspondence Files

Anonymous letters, letters of complaint, criticism and replies thereto. Arranged by Agency Correspondence Tracking System Log Number.

Annual accumulation: 10 cubic feet

a. Information not significant to transfer to Office of General Counsel and/or Division of Enforcement.

Disposition: TEMPORARY. Cut off annually. Retain in house 2 years. Transfer to FRC 2 years. Destroy when 4 years old.

b. Significant information will be transferred to Office of General Counsel and/or Division of Enforcement for incorporation into preliminary or case file(s).

Disposition: TEMPORARY. Cut off annually. Copies will be retained in OCA for 2 years. Transfer to FRC for 4 years. Destroy when 6 years old.