

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-266-96-003**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 2/9/2023

### **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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

All items except those listed below are 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### **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

N1-266-96-003, items 1, 3, and 4 -7 are superseded by GRS 5.7, Item 010

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	NI-266-96-3
1 FROM (Agency or establishment) Securities and Exchange Commission		DATE RECEIVED	5-30-96
2 MAJOR SUBDIVISION Office of Filings and Information Services		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION Branch of EDGAR Operations		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
4 NAME OF PERSON WITH WHOM TO CONFER	5 TELEPHONE	DATE	ARCHIVIST OF THE UNITED STATES
Suzanne L. McHugh	202 942-8970 X-5000	6-18-97	John W. Carl

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 \_\_\_ 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
5/23/96	<i>Suzanne P. 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 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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 is for an exception to GRS 16, Item 14c. (See attached)</p> <p>The Office of Filings and Information Services, Branch of EDGAR Operations provides filer support services relating to the Commission's EDGAR System and the receipt of fees and filings for all types of filers, regardless of the media.</p> <p>Files described under this schedule pertain to the disbursement of monies owed and collected for filings to the US Government. Because of the existing GRS 6 used for Accountable Officer's account records, we must maintain these records to comply with the statutory time in which an account may be challenged.</p>		

JUN 23 1997 *MHW*  
*Copy to: Agency*  
*NWRW*

1. Data Movement Notification Sheets and Support Documentation - All fee and fee filing data movements are recorded, approved and reviewed on this form. All supporting documentation is attached. When applicable, copies of E-mails from Corporation Finance and Investment Management requesting adjustments on Fee Filings will be included in appropriate file. To be filed alphabetically by Company.

Annual Accumulation: 10 cubic feet

Retention Value: Cutoff annually. Transfer to FRC after cutoff. Destroy 6 years and 3 months after cutoff.

2. Data Movement Correspondence - Correspondence received from filers as a result of filer activity statements and responses thereto. To be filed alphabetically by Company.

Annual Accumulation: 10 cubic feet

Retention Value: Cutoff annually. Transfer to FRC after cutoff. Destroy 6 years and 3 months after cutoff.

3. Daily Verification Reports - Computer generated reports that are used by staff to verify each days input (on-file-date). Data movements relating to fees and fee filings only.

Retention Value: Cutoff annually. Destroy after 3 years old.

4. Mellon Advices Files - Copies of checks, wires, etc. Maintained for staff use in research and fee problem resolution. To be filed in jacket folders by deposit dates.

Retention Value: Cutoff annually. Destroy after 3 years old.

5. Unassigned Fee Files - Printouts and work papers on updating and verifying unassigned fees.

Retention Value: Cutoff annually. Destroy after 3 years old.

6. Daily Fee Logs - Daily computer generated reports which are used by staff for fee adjustments.

Retention Value: Cutoff annually. Destroy after 3 years old.

7. Returned Activity Statements Files - Returned activity statements which were mailed to companies and returned because of undeliverable address. Filed chronologically with envelopes to show proof of attempted delivery.

Retention value: Destroy when 1 year old.