

Request for Records Disposition Authority

Records Schedule Number	DAA-0266-2021-0007
Schedule Status	Modified Approved Version
Agency or Establishment	Securities and Exchange Commission
Record Group / Scheduling Group	Records of the Securities and Exchange Commission
Records Schedule applies to	Agency-wide
Schedule Subject	Registration Statements, Reports, and Other Filings Pursuant to Various Acts
Internal agency concurrences will be provided	No
Background Information	<p>Pursuant to federal securities laws, registration statements, reports, other filings, and amendments to those documents are prepared and filed by companies and individuals with the SEC. These documents are reviewed by SEC divisions and offices to provide investors the information they need to make informed investment and voting decisions. The various Acts which cover these materials include:</p> <ul style="list-style-type: none">-The Securities Act of 1933;-The Securities Exchange Act of 1934;-The Investment Company Act of 1940;-The Investment Advisers Act of 1940;-The Public Utility Holding Company Act of 1935; <p>The records in this schedule apply to various Divisions and Offices in the SEC, including but not necessarily limited to:</p> <ul style="list-style-type: none">• The Division of Corporation Finance: The mission of the Division of Corporation Finance (CF) is to see that investors are provided with material information in order to make informed investment decisions – both when a company initially offers its stock to the public and on a regular basis as it continues to give information to the marketplace. The Division also provides guidance to companies on SEC rules and forms and proposes new and revised rules to the Commission.• The Division of Investment Management: The Division of Investment Management (IM) regulates investment companies, variable insurance products, and federally registered investment advisers. Types of investment companies include mutual funds, closed-end funds, unit investment trusts, and exchange-traded funds. IM works to support the SEC in its mission to protect investors, maintain fair, orderly, and efficient markets, and facilitate capital formation.• The Division of Trading and Markets: The Division of Trading and Markets (TM) establishes and maintains standards for fair, orderly,

and efficient markets. The division regulates the major securities market participants, including broker-dealers, self-regulatory organizations (such as stock exchanges, FINRA, and clearing agencies), and transfer agents.

- **The Division of Examinations:** The Division of Examinations conducts the SEC's National Exam Program (NEP). The NEP's mission is to protect investors, ensure market integrity and support responsible capital formation through risk-focused strategies that: (1) improve compliance; (2) prevent fraud; (3) monitor risk; and (4) inform policy. The results of the NEP's examinations are used by the SEC to inform rule-making initiatives, identify and monitor risks, improve industry practices and pursue misconduct.
- **The Office of Credit Ratings:** The Office of Credit Ratings (OCR) assists the Commission in executing its responsibility for protecting investors, promoting capital formation, and maintaining fair, orderly, and efficient markets through the oversight of credit rating agencies registered with the Commission as "nationally recognized statistical rating organizations" (NRSROs). In support of this mission, OCR monitors the activities and conducts examinations of registered NRSROs to assess and promote compliance with statutory and Commission requirements.

These records covered in this schedule were submitted prior to the implementation of the EDGAR system in 1993, or were otherwise not incorporated into EDGAR. This schedule does not provide disposition authority for records captured in the EDGAR System.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	2	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0266-2021-0007

Sequence Number	
1	Periodic Reports Submitted by Filers Disposition Authority Number: DAA-0266-2021-0007-0001
2	Reports Filed with Commission by Indenture Trustee Pursuant to Section 313 of the Trust Indenture Act Annual Reports Filed Pursuant to Section 313 of the Trust Indenture Act Disposition Authority Number: DAA-0266-2021-0007-0002
3	1933 Securities Act-Registration Statements and Amendments
3.1	Registration Statements, Amendments, Exemptions, Associated Filings and Related Correspondence Under the 1933 Securities Act, Subject to Regulation C (Rules 400-498) Disposition Authority Number: DAA-0266-2021-0007-0003
3.2	Abandoned, withdrawn or stop ordered registration statements Disposition Authority Number: DAA-0266-2021-0007-0004
4	Registration and Offering Statements and Amendments of the SEC (Other) Disposition Authority Number: DAA-0266-2021-0007-0005
5	Miscellaneous Requests for Exemption Disposition Authority Number: DAA-0266-2021-0007-0006

Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 862 411">Periodic Reports Submitted by Filers</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-0266-2021-0007-0001</p> <p data-bbox="345 485 1528 1209">Public companies registered with the Commission are subject to periodic reporting requirements. The reports provide the securities markets with current and updated financial and operating information. Periodic reports include annual, quarterly, periodic and current reports, such as those filed pursuant to the Securities Acts of 1933 and 1934. These reports include supplemental information required by annual reports to stockholders and proxy solicitations material from holders of securities registered under Section 12 of the 1934 Act, or from security holders of registered public-utility companies, subsidiaries of holding companies, or registered investment companies. These records apply to various Divisions and Offices at the SEC, including but not necessarily limited to: • The Division of Corporation Finance); • The Division of Investment Management; • The Office of Credit Ratings These reports include, but are not limited to: • Annual, quarterly and current reports and associated documents filed pursuant to Sections 13(a) and 15(d) of the Securities Exchange Act; • Annual reports and associated documents related to a registration statement under Schedule B of the Securities Act; • Repurchase history reports and due diligence information filed with respect to asset-backed securities; • Proxy and information statements and related filed materials; • Reports Furnished or Filed by NRSROs • Annual and Supplemental Reports of Municipal Securities Rulemaking Board</p> <p data-bbox="345 1230 919 1262">Final Disposition Permanent</p> <p data-bbox="345 1283 849 1314">Item Status Active</p> <p data-bbox="345 1335 818 1367">Is this item media neutral? Yes</p> <p data-bbox="345 1388 818 1419">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p data-bbox="345 1535 818 1566">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="345 1650 1065 1946">GRS or Superseded Authority Citation N1-266-91-001 / 8/a N1-266-91-001 / 8/b N1-266-91-001 / 8/c N1-266-91-001 / 9/a N1-266-91-001 / 9/b N1-266-91-001 / 9/c N1-266-91-001 / 10/a N1-266-91-001 / 10/b</p>

N1-266-91-001 / 10/c
DAA-0266-2016-0006-0001
NC1-266-79-002 / 34

Disposition Instruction

Cutoff Instruction **Cut off at the end of the calendar year.**
Transfer to the National Archives for Accessioning **Transfer to the National Archives 30 year(s) after cutoff**

Additional Information

First year of records accumulation **1973**
End year of records accumulation **2009**
What will be the date span of the initial transfer of records to the National Archives? **From 1973 To 1991**
How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	137 Cubic feet	
Microform	1500 Linear feet of microfiche Microfilm rolls	
Hardcopy or Analog Special Media		

2

Reports Filed with Commission by Indenture Trustee Pursuant to Section 313 of the Trust Indenture Act Annual Reports Filed Pursuant to Section 313 of the Trust Indenture Act

Disposition Authority Number **DAA-0266-2021-0007-0002**

The Trust Indenture Act applies to debt securities such as bonds, debentures, and notes that are offered for public sale. Even though such securities may be registered under the Securities Act, they may not be offered for sale to the public unless a formal agreement between the issuer of bonds and the bondholder, known as the trust indenture, conforms to the standards of this Act. Section 313 of the Act requires trustees to provide reports to indenture security holders, at stated intervals of not more than 12 months in which events specified in the Act

have occurred. If no event occurred within the reporting period, no report need be transmitted. Trustees are required to file a copy of the report with the Commission.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation NC1-266-77-002 / 64

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year.

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

3 1933 Securities Act-Registration Statements and Amendments

3.1 Registration Statements, Amendments, Exemptions, Associated Filings and Related Correspondence Under the 1933 Securities Act, Subject to Regulation C (Rules 400-498)

Disposition Authority Number DAA-0266-2021-0007-0003

Regulation C of the Securities Act of 1933 provides requirements for a prospectus. A prospectus is an official document detailing public offerings of securities. This information enables investors to make informed judgments about whether to purchase a company's securities. Registration statements are subject to examination for compliance with disclosure requirements and become public shortly after filing with the SEC. These records apply to the Division of Corporation Finance and includes indexes to registration statements..

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data?

Yes

GRS or Superseded Authority Citation

NC1-266-77-002 / 1/a

Disposition Instruction

Cutoff Instruction

Cut off at the end of the calendar year.

Transfer to the National Archives for Accessioning

Transfer to the National Archives 30 year(s) after cutoff

Additional Information

What will be the date span of the initial transfer of records to the National Archives?

From 1979 To 1998

How frequently will your agency transfer these records to the National Archives?

Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	90 Cubic feet	
Microform	177 Linear feet of microfiche Microfilm rolls	
Hardcopy or Analog Special Media		

3.2

Abandoned, withdrawn or stop ordered registration statements

Disposition Authority Number

DAA-0266-2021-0007-0004

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

Yes

4	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-266-83-005 / 1
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year.
	Retention Period	Destroy 15 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Registration and Offering Statements and Amendments of the SEC (Other)	
	Disposition Authority Number	DAA-0266-2021-0007-0005
	<p>This series applies to Registration statements, amendments, exemptions, associated filings and related correspondence not subject to Regulation C of the Securities Act of 1933. RECORDS SUBJECT TO OTHER SECTIONS OF THE 1933 ACT INCLUDE: *Exemptions from registration requirements under Regulations A, B, E; for securities issued by SBICs, *Termination of offerings of securities, Exemption for assessment or assessable stock *Notification of sales of certain securities pursuant to Rule 141, 237, 242, Section 4(6), Regulation D of the 1933 Act, and of exemption for shares of certain securities pursuant to Rule 236. *Applications for: relief from disability pursuant to Regulation F *Reports of certain sales of securities deemed not to involve public offering, RECORDS SUBJECT TO THE EXCHANGE ACT OF 1934 INCLUDE: * Applications for, and amendments to, registration of entities and persons, reports of activities other than risk assessment reports, filings, plans, internal background/ supporting materials produced by staff in the day-to-day support and maintenance of registrations, exemptions, exceptions, withdrawal from registration, and related external correspondence including requests for confidential treatment. *Reports required by certain Broker-Dealers and institutional investment managers; *Applications to restore trading privileges suspended by the Commission; to register as a national security exchange or affiliated association; to register as a Municipal Securities Dealer (MSD); for exemption from Section 13f; for exemption as a non-ban clearing agency; for exemption as a securities information processor. *Notices of withdrawal as a MSD, of withdrawn or delisted statements and amendments to registrations. *General correspondence with Stock Exchanges. RECORDS SUBJECT TO THE INVESTMENT COMPANY ACT OF 1940 INCLUDE: *Reports of beneficial ownership; of repurchase of certain securities by closed-end investment companies; of exempted issuers; of investments; and of compliance with rules in purchasing certain securities; *Applications for exemption from certain requirements of the Act; relating to affiliations between trustees and underwriters; for registration as an investment adviser; and for exemption of an employee's security company. *Notices of registration pursuant to Section</p>	

8 of the act. *Copies of sales literature RECORDS SUBJECT TO THE TRUST INDENTURE ACT OF 1939 INCLUDE: *Statements of eligibility and qualification of corporations or individuals as trustees under qualified indenture. *Applications to register as a foreign management investment company. *Applications for exemption from requirements of the Investment Advisers Act of 1940. RECORDS PURSUANT TO THE INTER-AMERICAN DEVELOPMENT BANK AND ASIAN DEVELOPMENT BANK ACTS CONSISTS OF PERIODIC REPORTS FILED BY BANKS PURSUANT TO THE INTER-AMERICAN DEVELOPMENT BANK AND ASIAN DEVELOPMENT BANK ACTS These records apply to various Divisions and Offices at the SEC, including but not necessarily limited to: • The Division of Corporation Finance; • The Division of Investment Management; • The Division of Trading and Markets; • The Division of Examinations; • The Office of Credit Ratings

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation
NC1-266-77-002 / 2
NC1-266-77-002 / 5
NC1-266-77-002 / 8
NC1-266-77-002 / 19
NC1-266-77-002 / 20
NC1-266-77-002 / 21
NC1-266-77-002 / 25
NC1-266-77-002 / 27
NC1-266-77-002 / 34
NC1-266-77-002 / 43
NC1-266-77-002 / 50
NC1-266-77-002 / 55
NC1-266-77-002 / 56
NC1-266-77-002 / 57
NC1-266-77-002 / 58
NC1-266-77-002 / 60
NC1-266-77-002 / 61
NC1-266-77-002 / 66
NC1-266-77-002 / 67
NC1-266-77-002 / 69
NC1-266-77-002 / 70
NC1-266-77-002 / 71
NC1-266-77-002 / 72

NC1-266-77-002 / 73
NC1-266-77-002 / 102
NC1-266-79-002 / 24
NC1-266-79-002 / 33
NC1-266-79-002 / 79
NC1-266-79-002 / 80
NC1-266-82-001 / 7
NC1-266-82-001 / 12
NC1-266-83-004 / 4
NC1-266-83-004 / 5
NC1-266-83-004 / 6
NC1-266-83-004 / 7
NC1-266-83-005 / 12
N1-266-91-001 / 7
N1-266-91-001 / 17
N1-266-91-001 / 23
N1-266-91-001 / 24
N1-266-91-001 / 26
N1-266-91-001 / 27
N1-266-91-001 / 28
N1-266-91-001 / 29
N1-266-91-001 / 30
N1-266-91-001 / 31
N1-266-91-001 / 32
N1-266-91-001 / 33
N1-266-91-001 / 34
N1-266-91-001 / 35
N1-266-91-001 / 36
N1-266-91-001 / 38
N1-266-91-001 / 41
N1-266-91-001 / 42
N1-266-91-001 / 43/1
N1-266-94-002 / 1/d
N1-266-94-002 / 5
N1-266-94-002 / 7
N1-266-99-003 / 2
DAA-0266-2018-0007-0001, in part for registrations
not subject to confidential treatment requests
DAA-0266-2018-0007-0002, in part for registrations
not subject to confidential treatment requests

Disposition Instruction

Cutoff Instruction

Cut off annually, or after withdrawal becomes
effective, whichever is applicable.

Retention Period

Destroy 15 year(s) after cutoff

5	Additional Information	
	GAO Approval	Not Required
	Miscellaneous Requests for Exemption	
	Disposition Authority Number	DAA-0266-2021-0007-0006
	Requests for exemption from rules or regulations for which no specific procedures are provided.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-266-77-002 / 79 (In part, for requests for exemption from rules and regulations for which no specific procedures are provided)
	Disposition Instruction	
	Cutoff Instruction	Cutoff at the end of the calendar year in which the application, registration, exemption, indenture or offering is effectively withdrawn, terminated, or obsolete; when final action on an appeal or order is effective; or after reports are filed.
	Retention Period	Destroy 15 year(s) after cutoff
	Additional Information	
GAO Approval	Not Required	

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
08/05/2021	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/25/2021	Return for Revision	Esther Hidalgo	Archives Specialist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
10/29/2021	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/29/2021	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/29/2021	Return for Revision	Esther Hidalgo	Archives Specialist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
10/29/2021	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/29/2021	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
07/29/2022	Return for Revision	Esther Hidalgo	Archives Specialist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
08/01/2022	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
08/01/2022	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services

09/13/2022	Return for Revision	Esther Hidalgo	Archives Specialist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
09/13/2022	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
09/13/2022	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/09/2023	Submit for Concurrence	Esther Hidalgo	Archives Specialist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
01/20/2023	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/23/2023	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
01/28/2023	Approve	Debra Wall	Deputy Archivist	National Archives and Records Administration - ND Archives I Office

DAA-0266-2021-0007 Crosswalk

New Item	New Item Title	Cutoff Instructions	New Retention	Superseded DAU	Superseded Item Name/SEC File No.	Superseded DAU Title/Brief Description	Superseded DAU Disposition	SEC File No.	Form Type (if listed)	Division / Office
DAA-0266-202	Periodic Reports Submitted by Filers	Cut off at the end of the calendar year.	Permanent -- Transfer to the National Archives 30 year(s) after cutoff cutoff	N1-266-91-001 / 8/a	2-00-2	Periodic Reports - e.g. Form 10K, 11-k, 12-k, 18-k, 19-k, 20-f, 10-Q, 6-k, or 8-k. Maintained in microform. Silver Roll Microfiche. Retire to FRC Immediately. Transfer to NARA when 30 years old	P - Transfer to NARA when 30 years old.	2-00-2	2-MD, 4-MD, 10-K, 11-K, 12-K, 18-K, 19-K, 20-K, 10-Q, N-1Q, 6-K	CorpFln
				N1-266-91-001 / 8/b	2-00-2	Periodic Reports - e.g. Form 10K, 11-k, 12-k, 18-k, 19-k, 20-f, 10-Q, 6-k, or 8-k. Maintained in microform. Diaz Microfiche - Retire to FRC Immediately. Transfer to NARA when 30 years old	P - Transfer to NARA when 30 years old.	2-00-2	2-MD, 4-MD, 10-K, 11-K, 12-K, 18-K, 19-K, 20-K, 10-Q, N-1Q, 6-K	CorpFln
				N1-266-91-001 / 8/c	2-00-2	Periodic Reports - e.g. Form 10K, 11-k, 12-k, 18-k, 19-k, 20-f, 10-Q, 6-k, or 8-k. Maintained in microform. Reports maintained solely in paper (1935 to 1980 and 1992 to 1998)	P - Transfer to NARA when 30 years old.	2-00-2	2-MD, 4-MD, 10-K, 11-K, 12-K, 18-K, 19-K, 20-K, 10-Q, N-1Q, 6-K	CorpFln
				N1-266-91-001 / 9/a	0-00-2 and 1-00-2	Annual, quarterly, current reports (Forms 10-K, 18-K, 19-K, 20-F, U5S, N-IR, 10-Q, N-1Q). Silver Roll Microfiche.	P - Transfer to NARA when 30 years old.	0-00-2 and 1-00-2	10-K, 12-K, 14-K, 16-K, 18-K, 19-K, 20-K, U5S, N-1R, 10-Q, N-1Q	CorpFln
				N1-266-91-001 / 9/b	0-00-2 and 1-00-2	Annual, quarterly, current reports (Forms 10-K, 18-K, 19-K, 20-F, U5S, N-IR, 10-Q, N-1Q). Diaz Microfiche.	P - Transfer to NARA when 30 years old	0-00-2 and 1-00-2	10-K, 12-K, 14-K, 16-K, 18-K, 19-K, 20-K, U5S, N-1R, 10-Q, N-1Q	CorpFln
				N1-266-91-001 / 9/c	0-00-2 and 1-00-2	Annual, quarterly, current reports (Forms 10-K, 18-K, 19-K, 20-F, U5S, N-IR, 10-Q, N-1Q). Reports maintained solely in paper (1935 to 1980 and 1992 to 1998).	P - Transfer to NARA when 30 years old	0-00-2 and 1-00-2	10-K, 12-K, 14-K, 16-K, 18-K, 19-K, 20-K, U5S, N-1R, 10-Q, N-1Q	CorpFln
				N1-266-91-001 / 10/a	0-00-2 and 1-00-2	Proxy soliciting material. Silver Roll Microfiche.	P - Transfer to NARA when 30 years old	0-00-2 and 1-00-2	N/A	IM
				N1-266-91-001 / 10/b	0-00-2 and 1-00-2	Proxy soliciting material. Diaz Microfiche.	P - Transfer to NARA when 30 years old	0-00-2 and 1-00-2	N/A	IM
				N1-266-91-001 / 10/c	0-00-2 and 1-00-2	Proxy soliciting material. Reports maintained solely in paper (1935 to 1980 and 1992 to 1998).	P - Transfer to NARA when 30 years old	0-00-2 and 1-00-2	N/A	IM

DAA-0266-2021-0007 Crosswalk

New Item	New Item Title	Cutoff Instructions	New Retention	Superseded DAU	Superseded Item Name/SEC File No.	Superseded DAU Title/Brief Description	Superseded DAU Disposition	SEC File No.	Form Type (if listed)	Division / Office
				DAA-0266-2016-0006-0001	Form NRSRO and reports furnished or filed by NRSROs with the Commission	Form NRSRO and reports furnished or filed by NRSROs with the Commission: initial applications for registration as an NRSRO, applications to add a class of credit ratings, application supplements, annual certifications, updates of registration and withdrawals from registration, including exhibits, accompanying documents and amendments thereto (Form NRSRO) (17 CFR 249b.300); and financial statements, certifications, reports or other records furnished or filed by NRSROs with the Commission pursuant to Section 15E of the Exchange Act or the rules thereunder	P - Cut off at the end of the calendar year in which received. Transfer to NARA 20 years after cutoff.	072-00-1, -3	N/A	OCR
				NC1-266-79-002 / 34	80-00-1	Annual and Supplemental Reports of Municipal Securities Rulemaking Board.	"INDEFINITE" The SEC will reevaluate these records within 2 years to establish appropriate retention.	80-00-1	N/A	N/A
DAA-0266-2021-0007-0002	Reports Filed with Commission by Indenture Trustee Pursuant to Section 313 of the Trust Indenture Act Annual Reports Filed Pursuant to Section 313 of the Trust Indenture Act	Cut off at the end of the calendar year.	Temporary - Destroy 1 year(s) after cutoff	NC1-266-77-002 / 64	93-1	Reports of indenture trustee to indentur security holders with respect to eligibility and qualification under Section 310 of the Act.	T - Destroy when 1 year old	93-1	N/A	CorpFin
DAA-0266-2021-0007-0003	Registration Statements, Amendments, Exemptions, Associated Filings and Related Correspondence Under the 1933 Securities Act, Subject to Regulation C (Rules 400-498)	Cut off at the end of the calendar year.	Permanent - Transfer to the National Archives 30 year(s) after cutoff	NC1-266-77-002 / 1/a	2-00-1, -3, -4, -5	Registration statements, statements, Commission orders, fixing effective dates, consenting withdrawal, related correspondence.	P - Transfer to NARA when 5 years old	2-00-1, -3, -4, -5	C-2, C-3, D-1, D-1A, S-1, S-2, TH, THA, TTW	CorpFin
DAA-0266-2021-0007-0004	Abandoned, withdrawn or stop ordered registration statements	Cut off at the end of the calendar year.	Temporary - Destroy 15 years(s) after cutoff	NC1-266-83-005 / 1	2-00-3, -4, -5	Registration statements and amendments thereto and Commission Orders fixing effective date(s) and/or consenting to withdrawal of registration statement(s) and related correspondence. (Regulation C)	T - Destroy when 30 years old.	2-00-3, -4, -5	C-2, C-3, D-1, D-1A, S-1, S-2	CorpFin

DAA-0266-2021-0007 Crosswalk

New Item	New Item Title	Cutoff Instructions	New Retention	Superseded DAU	Superseded Item Name/SEC File No.	Superseded DAU Title/Brief Description	Superseded DAU Disposition	SEC File No.	Form Type (if listed)	Division / Office
DAA-0266-2021-0007-0005	Registration and Offering Statements and Amendments of the SEC (Other)	Cutoff at the end of the calendar year in which the application, registration, exemption, indenture or offering is effectively withdrawn, terminated, or obsolete; when final action on an appeal or order is effective; or after reports are filed.	Temporary - Destroy 15 year(s) after cutoff	NC1-266-77-002 / 2	24-00-1, -3, -4, -5	Notification of exemption from registration (Regulation A)	T-Destroy 10 years after completion or termination of offering or order of the Commission permanently suspending exemption, whichever comes first	24-00-1, -3, -4, -5	1-A through 6-A	CorpFin
				NC1-266-77-002 / 5	Reports after termination of offering	Reports after termination of offering	T - Destroy when 7 years old. Retain file 3 years and transfer to the Federal Records Center. (All files from 1937-1961 can be destroyed immediately.)	n/a	3-G	CorpFin
				NC1-266-77-002 / 8	100-00-1, -3	Notification of exemption pursuant to Rule 236 and related correspondence	T - Destroy when 6 years old. Retain file 3 years and transfer to the Federal Records Center.	100-00-1, -3	N/A	CorpFin
				NC1-266-77-002 / 19	83-1-1, 83-1-3	Periodic reports and related correspondence by the Inter-American Development Bank	T - Destroy when 3 years old	83-1-1, 83-1-3	N/A	CorpFin
				NC1-266-77-002 / 20	83-2-1, 83-2-3	Periodic reports and related correspondence by the Asian Development Bank	T - Destroy when 3 years old	83-2-1, 83-2-3	N/A	CorpFin
				NC1-266-77-002 / 21	6-1, 6-1-1	Reports of beneficial ownership of securities and related correspondence	T - Destroy when 6 years old. Retain file 3 years and transfer to the Federal Records Center.	6-1, 6-1-1	3 and 4	CorpFin
				NC1-266-77-002, / 25	8-00-2A12	Report by registered brokers and dealers who are Over-the-Counter Market Makers in any O-T-C Margin Securities.	T - Destroy when 6 years old. Retain file 3 years and transfer to the Federal Records Center.	8-00-2A12	X-17A-12	TM

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New Item	New Item Title	Cutoff Instructions	New Retention	Superseded DAU	Superseded Item Name/SEC File No.	Superseded DAU Title/Brief Description	Superseded DAU Disposition	SEC File No.	Form Type (if listed)	Division / Office
				NC1-266-77-002 / 27	8-00-2A17	Quarterly report filed by every broker-dealer block positioner who has filed a notice pursuant to paragraph (a) of Rule 17a-17.	T - Destroy when 6 years old. Retain file 3 years and transfer to the Federal Records Center.	8-00-2A17	X-17A-17	TM
				NC1-266-77-002 / 34	7-00-1, -3	Applications for permission to extend unlisted trading privileges and related applications pursuant to Rule 12 (f) and related correspondence.	T - Destroy when 10 years old. Retain file 3 years and transfer to the Federal Records Center.	7-00-1, -3	26, 27, 28	TM
				NC1-266-77-002 / 43	30-00-1, -2, -3	Notification and registration by public utility holding companies, annual supplements and related correspondence	T - Destroy 10 years after holding company no longer has reporting requirement.	30-00-1, -2, -3	USA, U5B, U5S	IM
				NC1-266-77-002 / 50	37-00-1, -3	Applications and declarations for authorization of service companies and related correspondence.	T - Destroy 5 years after service company no longer is part of a registered holding company system	37-00-1, -3	U-13-1	IM
				NC1-266-77-002 / 55	6-1, 6-1-1	Reports of beneficial ownership of securities	T - Destroy when 6 years old. Retain file 3 years and transfer to the Federal Records Center.	6-1, 6-1-1	3, 4	IM
				NC1-266-77-002 / 56	68-00-1, -3	Declaration with respect to solicitations regarding reorganization of registered holding companies or subsidiaries subject to Rule 62 and related correspondence.	T - Destroy when 10 years old. Retain file 3 years and transfer to the Federal Records Center.	68-00-1, -3	U-R-1	IM
				NC1-266-77-002 / 57	32-00-1, -3	Exemption of purchaser, assignee, etc. of leased facilities and related correspondence.	T - Destroy 5 years after lease is terminated or canceled.	32-00-1, -3	U7D	IM
				NC1-266-77-002 / 58	72-00-1, -3	Report of communication with stockholders and related correspondence.	T - Destroy when 2 years old	72-00-1, -3	N/A	IM

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New Item	New Item Title	Cutoff Instructions	New Retention	Superseded DAU	Superseded Item Name/SEC File No.	Superseded DAU Title/Brief Description	Superseded DAU Disposition	SEC File No.	Form Type (if listed)	Division / Office
				NC1-266-77-002 / 60	69-00-1, -3	Annual statements by holding companies claiming exemption pursuant to Rule 2 (intrastate or predominantly operating companies) and related correspondence.	T - Destroy when 2 years old	69-00-1, -3	U-3A-2	IM
				NC1-266-77-002 / 61	3 3-1, -3	Annual statement by banks holding public utility securities but claiming exemption under Rule 3 and related correspondence.	T - Destroy when 2 years old	3 3-1, -3	U-3A3-1	IM
				NC1-266-77-002 / 66	811-00-2	Periodic reports (annual, quarterly, semi-annual, proxy material)	T - Destroy when 10 years old. Retain file 3 years and transfer to the Federal Records Center.	811-00-2	N-IR, N-30A-2, N-30A-3, N-5R, N-IQ, Investment Companies	IM
				NC1-266-77-002 / 67	812-00-1, -2, -3	Applications for exemption and other relief, reports pursuant to Commission order and related correspondence.	T - Destroy when 10 years old. Retain file 3 years and transfer to the Federal Records Center.	812-00-1, -2, -3	N/A	IM
				NC1-266-77-002 / 69	816-00-1, -3	Request for advisory report re reorganization of registered investment company and related correspondence.	T - Destroy when 6 years old. Retain file 3 years and transfer to the Federal Records Center.	816-00-1, -3	N/A	IM
				NC1-266-77-002 / 70	817-00-1, -3	Report of repurchase of securities by closed-end investment company and related correspondence	T - Destroy when 6 years old. Retain file 3 years and transfer to the Federal Records Center.	817-00-1, -3	N-23C-1	IM
				NC1-266-77-002 / 71	818-00-1, -3	Sales literature regarding securities of certain investment companies and related correspondence.	T - Destroy when 6 years old. Retain file 3 years and transfer to the Federal Records Center.	818-00-1, -3	N/A	IM
				NC1-266-77-002 / 72	819-00-1, -3	Statement of the Federal Savings and Loan Corporation relating to the exemption of certain issuers.	T - Destroy when 6 years old. Retain file 3 years and transfer to the Federal Records Center.	819-00-1, -3	N/A	IM

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New Item	New Item Title	Cutoff Instructions	New Retention	Superseded DAU	Superseded Item Name/SEC File No.	Superseded DAU Title/Brief Description	Superseded DAU Disposition	SEC File No.	Form Type (if listed)	Division / Office
				NC1-266-77-002 / 73	6-1, 6-1-1	Reports of beneficial ownership of securities and related correspondence.	T - Destroy when 6 years old. Retain file 3 years and transfer to the Federal Records Center.	6-1, 6-1-1	3,4	IM
				NC1-266-77-002 / 102	124-	Stock Exchanges (general correspondence)	T - Destroy when exchange no longer registered.	124-	N/A	TM
				NC1-266-79-002 / 24	8-00-2A-19	Reports of changes of leadership of any of its members required of national security changes and registered national securities associations.	T - Destroy when 6 years old.	8-00-2A-19	X-17A-19	TM
				NC1-266-79-002 / 33	28-00-1	Quarterly reports by institutional investment managers	T - Destroy when 10 years old.	28-00-1	13-F	IM
				NC1-266-79-002 / 79	820-00-1	Reports showing that companies have complied with requirements of the rule in purchasing new issues of securities from underwriters. (Section 10(f))	T - Destroy when 6 years old.	820-00-1	N/A	IM
				NC1-266-79-002 / 80	821-00-1	Reports by registered small business investment companies and affiliated banks with respect to investments.	T - Destroy 10 years after date of such action	821-00-1	17-F-1	IM
				NC1-266-82-001 / 7	16-1, -3	Application for registration as a national securities association or affiliated securities association and related correspondence.	T - Cut off when association is no longer registered. Destroy 6 years after cutoff.	16-1, -3	X-15AA-1, X-15AJ-1, 2	TM
				NC1-266-82-001 / 12	803-00-1, -3	Application for exemption and other relief (Section 206A of the Act), and related correspondence.	T - Cut off after investor advisor is no longer conducting business under an exemption. Destroy 6 years after cutoff.	803-00-1, -3	N/A	IM
				NC1-266-83-004 / 4	21-00-1, -3	Notice of sale for offerings under Regulation D and Section 4(6) (Form D) - Securities Act of 1933. [17 CFR 230.501; 17 CFR 239.500]	T - Destroy when 6 years old.	21-00-1, -3	D	CorpFin
				NC1-266-83-004 / 5	27-00-1, -3	Applications for exemption from Section 13(f) - Securities Exchange Act of 1934. [17 CFR 240.13F-1]	T - Destroy when 10 years old.	27-00-1, -3	N/A	IM

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New Item	New Item Title	Cutoff Instructions	New Retention	Superseded DAU	Superseded Item Name/SEC File No.	Superseded DAU Title/Brief Description	Superseded DAU Disposition	SEC File No.	Form Type (if listed)	Division / Office
				NC1-266-83-004 / 6	28-00-1, -3	Reports by institutional investment managers of information with respect to accounts over which they exercise discretion. (Form 13F) [17 CFR 240.13F-1; 17 CFR 249.324] - Securities Exchange Act of 1934	T - Destroy when 4 years old.	28-00-1, -3	13F	IM
				NC1-266-83-004 / 7	29-00-1, -3	Report of issuers of sale of securities deemed not to involve any public offering (Form 146) - Securities Act of 1933 [17 CFR 230.146; 17 CFR 239.146]	T - Destroy when 6 years old.	29-00-1, -3	146	CorpFin
				NC1-266-83-005 / 12	811-00-1, -3	Notifications and registrations statements	T - Destroy when 30 years old.	811-00-1, -3	N-8A, N-8B-1, 2, 3, 4, N-5	IM?
				N1-266-91-001 / 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.	T - Cut off after completion or termination of offering or order of Commission permanently suspending exemption, which ever comes first. Destroy 5 years after cutoff.	95-00-1, -3	1-E, 2-E	IM
				N1-266-91-001 / 17	601-00-1, -3	Applications for exemption(non-bank) clearing agency from registration as a and related correspondence.	T - Cut off when clearing house no longer has reporting requirements. Destroy 20 years after cutoff.	601-00-1, -3	N/A	TM
				N1-266-91-001 / 23	70-00-1, -3	Application/Declaration 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.	T - Cut off when closed. Destroy 3 years after cutoff.	70-00-1, -3	U-1	IM
				N1-266-91-001 / 24	50-00-1, -3	Order granting or withdrawing exemptions and related correspondence. Maintained in paper and microform	T - Cut off when closed. Destroy 3 years after cutoff.	50-00-1, -3	N/A	IM
				N1-266-91-001 / 26	54-00-1, -3	Divestment of securities, assets or control Section 11(e) of the Act and related correspondence. Maintained in microform and paper.	T - Cut off when closed. Destroy 3 years after cutoff.	54-00-1, -3	N/A	IM

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New Item	New Item Title	Cutoff Instructions	New Retention	Superseded DAU	Superseded Item Name/SEC File No.	Superseded DAU Title/Brief Description	Superseded DAU Disposition	SEC File No.	Form Type (if listed)	Division / Office
				N1-266-91-001 / 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 a:'R 250. 63). maintained in paper.	T - Cut off when closed. Destroy 3 years after cutoff.	55-00-1, -3	N/A	IM
				N1-266-91-001 / 28	59-00-1, -3	Simplification of corporate structure, Sections 11(b)(1) and (2) of the Act and related correspondence.	T - Cut off when closed. Destroy 3 years after cutoff.	59-00-1, -3	N/A	IM
				N1-266-91-001 / 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 microform and paper.	T - Cut off when closed. Destroy 3 years after cutoff.	40-00-1, -3	U-6B-2	IM
				N1-266-91-001 / 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.	T -Cut off annually. Destroy 2 years after cutoff.	12-1, 12-1-1	U-12(I)-A & B	IM
				N1-266-91-001 / 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)]	T - Cut off when officer/director no longer serves. Destroy 3 years after cutoff.	38-00-1, -3	N/A	IM
				N1-266-91-001 / 32	62-00-1, -3	Report by an affiliate service company or one engagedprincipally in the performance of services (FormU-13E-1) [17 CFR 250.95; 17 CFR 259.213.], and related correspondence. Maintained in microform and paper.	T - Cut off when service company is no longer a part of a registered holding company system. Destroy 4 years after cutoff.	62-00-1, -3	U-13E-1	IM

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New Item	New Item Title	Cutoff Instructions	New Retention	Superseded DAU	Superseded Item Name/SEC File No.	Superseded DAU Title/Brief Description	Superseded DAU Disposition	SEC File No.	Form Type (if listed)	Division / Office
				N1-266-91-001 / 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.	T - Cut off when service company is no longer a part of a registered holding company system. Destroy 15 years after cutoff.	49-00-1, -3	U-13-60	IM
				N1-266-91-001 / 34	31-00-1, -3	Statement of exemption from the Act by Commission order [17 CFR 2S0.7(b)(4)], and related correspondence.	T - Cut off when company no longer relies on an exemption. Destroy 10 years after cutoff.	31-00-1, -3	N/A	IM
				N1-266-91-001 / 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 [17 CFR 260.Sa-l(a) , (b), 7a-l, Sa-l;17 CFR 269.1, 2, 3, 4], and related correspondence.	T - Cut off when the indenture is terminated or canceled. Destroy 30 years after cutoff.	22-00-1, -3	T-1, T-2, T-3, T-4,	CorpFin
				N1-266-91-001 / 36	812-00-1, -3	Application by foreign management investment companies for order permitting registration [17 CFR 270.7d-l], and related correspondence	T - Cut off when registrant no longer has a reporting requirement. Destroy 33 years after cutoff.	812-00-1, -3	N/A	IM
				N1-266-91-001 / 38	8-00-2A	Annual audit report supplemental reports detailing Securities Investor Protection Corporation assessment payment or copayments.	T - Cut off when broker-dealer no longer registered with Commission. Destroy 13 years after cutoff.	8-00-2A	FX-17A-5	TM
				N1-266-91-001 / 41	25-00-1	Applications relative to affiliations between trusttes and underwriters.	T - Cut off when applicable indenture is terminated or canceled. Destroy 33 years after cutoff.	25-00-1	N/A	CorpFin

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New Item	New Item Title	Cutoff Instructions	New Retention	Superseded DAU	Superseded Item Name/SEC File No.	Superseded DAU Title/Brief Description	Superseded DAU Disposition	SEC File No.	Form Type (if listed)	Division / Office
				N1-266-91-001 / 42	813-00-1	Applications for exemption of an employee's security company.	T - Cut off after registrant no longer has reporting requirement. Destroy 33 years after cutoff.	813-00-1	N/A	IM
				N1-266-91-001 / 43/1	801-00-1, -3	Application for registration as investment adviser and related correspondence	T - Cut off after investment adviser no longer registered. Destroy 9 years after cutoff.	801-00-1, -3	ADV, ADV-S, ADV-W, 5-R, 6-R, 7-R	IM
				N1-266-94-002 / 1/b	8-00-1, -2, -2A, -2B, -3, -4, -5	Broker Dealer Correspondence [Confidential risk assessment reports]	T - Cut off annually. Destroy 50 years after cutoff.	8-00-1, -2, -2A, -2B, -3, -4, -5	17-A-11	TM
				N1-266-94-002 / 5	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 240.15b2B-l; 17 CFR 249.1100], and related correspondence. Adoption of applications filed by predecessors (17 CFR 240.15 Bas2-6). Notices of withdrawal from registration as municipal securities dealers (Forms MSDW) (Include GFIN)	T - Cut off annually. Destroy 50 years after cutoff.	86-00-1, -3	N/A	EXAMS
				N1-266-94-002 / 7	88-00-1, -3	Application for exemption as a securities information processor [17 CFR 240.11AB2-l(c)] and related correspondence.	T - Cut off when SIP is no longer registered with the Commission. Destroy 50 years after cutoff.	88-00-1, -3	N/A	TM
				N1-266-99-003 / 2	9-00-1, -3	Securities Act of 1933 - Exemption Rule 144	T - Cut off annually. Destroy 6 years after cutoff.	9-00-1, -3	144	CorpFin

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New Item	New Item Title	Cutoff Instructions	New Retention	Superseded DAU	Superseded Item Name/SEC File No.	Superseded DAU Title/Brief Description	Superseded DAU Disposition	SEC File No.	Form Type (if listed)	Division / Office
				DAA-0266-2018-0007-0001	10-00-1, -2, -3, -6, -9, -10 84-00-1, -3, -4 0-00-1, -3, -4, and 1-00-1, -3, -4: 8-00-1, -2, -2A, -2B, -3, -4, -5 8-00-1, -2, -2A, -2B, -3, -4, -5 600-1, -3, -4 87-00-1, -3 84-00-1, -3, -4 85-00-1, -3	Registrations - Trading & Markets	T - Cut off at the end of the calendar year after withdrawal becomes effective. Destroy/delete 50 years after cutoff.	10-00-1, -2, -3, -6, -9, -10 84-00-1, -3, -4 0-00-1, -3, -4, and 1-00-1, -3, -4: 8-00-1, -2, -2A, -2B, -3, -4, -5 8-00-1, -2, -2A, -2B, -3, -4, -5 600-1, -3, -4 87-00-1, -3 84-00-1, -3, -4 85-00-1, -3	BD, BDW, F-X, X-17A-5, X-17A-19, 1, 1-A, 1-N, 4 (FORM CA-1), 6 (FORM SIP), 7-M, 8 (TA-1), 8-M, 9 (TA-W), 9-M, 10, 10-M, 13-H, G-FIN, G-FIN-4,	TM
				DAA-0266-2018-0007-0002	0-00-1, -3, -4, and 1-00-1, -3, -4	Product and Offerings Registrations - Trading & Markets	T - Cut off at the end of the calendar year after withdrawal becomes effective. Destroy/delete 15 years after cutoff.	0-00-1, -3, -4, and 1-00-1, -3, -4	8-A, 15, 25	TM
DAA-0266-2021	Miscellaneous Requests for Exemption	Cutoff at the end of the calendar year in which the application, registration, exemption, indenture or offering is effectively withdrawn, terminated, or obsolete; when final action on an appeal or order is effective; or after reports are filed.	Destroy 15 year(s) after cutoff	NC1-266-77-002 / 79 (In part, for requests for exemption from rules and regulations for which no specific procedures are provided)	4-	Miscellaneous studies or investigations	T - Destroy when 25 years old. Retain file 3 years and transfer to the Federal Records Center.	4-	N/A	N/A