

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE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 Items are either obsolete or have been superseded by newer NARA approved records schedules.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This schedule is superseded by N1-266-98-001, item 8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INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE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)**

Securities and Exchange Commission

2 MAJOR SUBDIVISION

Office of Filings and Information Services

3 MINOR SUBDIVISION

Office of Consumer Affairs

4. NAME OF PERSON WITH WHOM TO CONFER

Suzanne L. McHugh, Records Officer

5 TELEPHONE202 942-8970
X-4655**LEAVE BLANK (NARA use only)****JOB NUMBER**

N1-266-95-1

DATE RECEIVED

7-20-95

NOTIFICATION TO AGENCY

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10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

8/17/95

ARCHIVIST OF THE UNITED STATES

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

July 13, 1995

SIGNATURE OF AGENCY REPRESENTATIVE

Suzanne L. McHugh

TITLE

Records Officer

**7
ITEM
NO.****8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION****9. GRS OR
SUPERSEDED
JOB CITATION****10 ACTION
TAKEN (NARA
USE ONLY)**

This request for disposition authority is for an exception to the General Records Schedule (GRS) 14, Item 5.

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.

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.

Copy sent to agency, NCF, GRS 8/31/95

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.