

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: N1-266-99-003**

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 Items are either obsolete or have been superseded by newer NARA approved records schedules.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This schedule is entirely superseded

N1-266-99-003 / 1 is obsolete because the records are no longer created.

N1-266-99-003 / 2 is superseded by DAA-0266-2021-0007-0005

Date Reported:

N1-266-99-003

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		<b>LEAVE BLANK (NARA use only)</b>	
<b>TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)</b> WASHINGTON, DC 20408		<b>JOB NUMBER</b> <i>N1-266-99-3</i>	
<b>1 FROM (Agency or establishment)</b> <i>Securities and Exchange Commission</i>		<b>DATE RECEIVED</b> <i>7/26/99</i>	
<b>2 MAJOR SUBDIVISION</b>		<b>NOTIFICATION TO AGENCY</b>  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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
<b>3 MINOR SUBDIVISION</b>			
<b>4 NAME OF PERSON WITH WHOM TO CONFER</b>  Suzanne L. McHugh	<b>5 TELEPHONE</b>  202 942-7811	<b>DATE</b> <i>10-22-99</i>	<b>ARCHIVIST OF THE UNITED STATES</b> <i>John W. Paul</i>
<b>6 AGENCY CERTIFICATION</b> 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,			
<input checked="checked" type="checkbox"/> is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested.			
<b>DATE</b> <i>7/20/99</i>	<b>SIGNATURE OF AGENCY REPRESENTATIVE</b> <i>Suzanne L. McHugh</i>	<b>TITLE</b> Records Officer	

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	See attached listing for items and proposed disposition.		

Copies: Agency, NR, NWMD + NWME

## 1 Office of International Affairs - Financial Issuer Notification System Files

### A. Official File

Office of International Affairs has established agreements with foreign regulatory counterparts whereby each agency will notify the other when trading halts or suspensions have been initiated by regulators in certain stocks. The records include notification of such halts and any follow up disciplinary or enforcement action.

Estimated accumulation 2 cubic feet per year

DISPOSITION. Cut off records after two years and send to the Federal Records Center. Destroy three years after cutoff

### B Electronic Version

DISPOSITION: Delete when file copy is generated <sup>and</sup> ~~or~~ when no longer needed for reference or updating.

## 2. 9-00-1, -3

### SECURITIES ACT OF 1933 - EXEMPTION RULE 144

Notice of proposed resale of restricted securities and resale of securities by control persons (Form 144 adopted April, 1972) (17 CFR 230.144). Filings are received in electronic or paper formats

DISPOSITION Temporary Cutoff annually Destroy all formats when 6 years

SUPERSEDES Job 266-91-1-5