

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-266-82-01**

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 Items are either obsolete or have been superseded by newer NARA approved records schedules.

### Description:

Item 1 is superseded by NC1-266-84-005, Item 1. NC1-266-82-01, Item 2 is superseded by N1-266-91-001, Item 6. NC1-266-82-01, Item 3 is superseded by NC1-266-77-002, Item 12. NC1-266-82-01, Item 4 is superseded by N1-266-91-001, Item 11. NC1-266-82-01, Item 5 is superseded by DAA-0266-2018-0007-0001. NC1-266-82-01, Item 6 is superseded by N1-266-94-002, Item 5. NC1-266-82-01, item 7 is superseded is by DAA-0266-2021-0007-0005. NC1-266-82-01, Item 8 is superseded by DAA-0266-2023-0001-0001. NC1-266-82-01, Item 9 is superseded by N1-266-94-002, Item 6. NC1-266-82-01, item 10 is superseded by N1-266-94-002, Item 008 and DAA-0266-2018-0007-0001. NC1-266-82-01, Item 11 is superseded by NC1-266-84-005, Item 1. NC1-266-82-01, item 12 is superseded by DAA-0266-2021-0007-0005.

Date Reported: 08/04/20203.

NC1-266-82-01

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

*line*  
**REQUEST FOR RECOPIATION DISPOSITION AUTHORITY**  
(See Instructions on reverse)

TO **GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408**

1 FROM (AGENCY OR ESTABLISHMENT)  
**Securities and Exchange Commission**

2 MAJOR SUBDIVISION  
**Office of Applications and Reports Services**

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER

**Nathan L. Harrison**

5. TEL EXT

**523-5583**

6 CERTIFICATE OF AGENCY REPRESENTATIVE

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 4 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

☐ **A Request for immediate disposal.**

☒ **B Request for disposal after a specified period of time or request for permanent retention.**

C DATE 10/15/81	D SIGNATURE OF AGENCY REPRESENTATIVE <i>Charles A. Moore</i>	E. TITLE <b>Charles A. Moore Records Officer</b>	
7 ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
1.	<p>The Securities and Exchange Commission was created under authority of the Securities Exchange Act of 1934 (48 Stat. 881; 15 U.S.C. 78a to 78jj), and was organized on July 2, 1934. The general objective of the statutes administered by the Securities and Exchange Commission is to provide the fullest possible disclosure to the investing public, and protect the interests of the public and investors against malpractice in the securities and financial markets.</p> <p>The disposition standards of this schedule supersede those standards established in Disposition Job No. NCI-266-77-2. Retention periods have been reduced.</p> <p>SEC File No. 20-00-1, -2, -3, -4</p> <p>Reports of sale (accorded confidential treatment) (Forms 1-G) [17 CFR 230.316(a)].</p> <p>Destroy when 7 years old.</p>	4	12 items

*Mass Data change sheet attached.  
Closed Out: 3-23-82: R.F.D.  
Copy to NCW & NNG*

*27 Oct 81*

**LEAVE BLANK**

JOB NO

**NCI-266-82-1**

DATE RECEIVED  
**October 23, 1981**

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

**3-1-82** *[Signature]*  
Date Archivist of the United States

## Request for Records Disposition Authority—Continuation

JOB NO

PAGE OF

7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
2.	<p>SEC File No. 92-00-1, -3</p> <p>Application for relief from disability - Regulation <del>F</del> and related correspondence [17 CFR 230.252(f)]</p> <p>Cut off when final action on appeal is taken. Transfer to Federal Records Center and destroy when 5 years old.</p>	9	
3.	<p>SEC File No. 96-00-1, -3</p> <p>Application for relief from disability - Regulation <del>A</del> and related correspondence [17 CFR 230.651(c)]</p> <p>Cut off when final action on appeal is taken. Transfer to Federal Records Center and destroy when 5 years old.</p>	12	
4.	<p>SEC File No. 5-1, 5-2, 5-3, 5X</p> <p>Acquisitions, tender offers and solicitations (Schedules 13D, 14D, 14A [17 CFR 240.13d-1, 240.14d-1, 240.14f-1])</p> <p>Cut off when target company no longer has reporting requirement. Transfer to Federal Records Center and destroy when 7 years old.</p>	22	
5.	<p>SEC File No. 10-00-1, -2, -3, -6, -9, -10</p> <p>Applications by an exchange for registration as a national securities exchange (Forms 1, 1A) [17 CFR 240.6a-1, 2, 3] correspondence, inspection reports and related materials.</p> <p>Cut off after exchange no longer is registered. Transfer to Federal Records Center and destroy when 6 years old.</p>	29	
6.	<p>SEC File No. 86-00-1, -3</p> <p>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-1; 17 CFR 249.1100], and related correspondence.</p> <p>Cut off after municipal securities dealer no longer is registered. Transfer to Federal Records Center and destroy when 6 years old.</p>	38	

Four copies, including original, to be submitted to the National Archives

STANDARD FORM 115-A  
Revised July 1974  
Prescribed by General Services Administration  
FPMR (41 CFR) 101-11.4

Request for Records Disposition Authority—Continuation		JOB NO	PAGE OF
7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
7.	SEC File No. 16-1, -3  Application for registration as a national securities association or affiliated securities association (Forms X-15AA-1, X-15AJ-1, 2) [17 CFR 240.15Aa-1, 15Aj-1] and related correspondence.  Cut off when Association no longer is registered. Transfer to Federal Records Center and destroy when 6 years old.	30	
8.	SEC File No. SR-00-1, -1H, -3  Proposed rule changes and notices as to stated policies, practices and interpretations by self-regulatory organizations (Forms 18b4A, 19b4B) [17 CFR 240.19b-4], related correspondence and transcripts of hearings where applicable.  Cut off after self-regulatory organization no longer is registered. <del>Transfer to Federal Records Center</del> and destroy when 6 years <del>old</del> after cutoff. Change made per email request of L. Mills, 3/31/09. - EWS.	31	
9.	SEC File No. 87-00-1, -3  Application for registration as a securities information processor and amendments thereto (Form SIP) [17 CFR 240.11Ab2-1, 11Ab2-2] [17 CFR 240.1101], and related correspondence.  Cut off after securities information processor no longer is registered. Transfer to Federal Records Center and destroy when 6 years old.	39	
10.	SEC File No. 84-00-1, -3, -4  Application for registration as a transfer agent (non-bank) and amendments thereto (Form TA-1) [17 CFR 240.17AC2-1; 17 CFR 249.100] and related correspondence.  Cut off after transfer agent no longer is registered. Transfer to FRC and destroy when 6 years old.	41	

Request for Records Disposition Authority—Continuation		JOB NO	PAGE OF
7. ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
11.	<p>SEC File No. 801-00-1, -3</p> <p>Application for registration as investment adviser (Forms ADV, ADV-W, ADV-S, 5-R, 6-R, 7-R) [17 CFR 275.203-1, 204-1; 17 CFR 279.1], and related correspondence.</p> <p>Cut off after investment adviser no longer is registered. Transfer to FRC and destroy when 6 years old.</p>	74	
12.	<p>SEC File No. 803-00-1, -3</p> <p>Application for exemption and other relief (Section 206A of the Act), and related correspondence.</p> <p>Cut off after investment adviser is no longer conducting business under an exemption. Transfer to Federal Records Center and destroy when 6 years old.</p>	75	

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