Schedule Number: N1-053-87-002

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 8/1/2019

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These items, unless subsequently superseded, may be used by the agency to disposition records.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

Item 2 Treasury Direct Case File Records
Item 3 Treasury Direct Supporting Form Records
Item 8 Treasury Direct Security Officer’s Reports
Item 9 Treasury Direct Statistical Records
Item 12 Treasury Direct Active and Inactive Masterfile

SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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.

Item 1 superseded by N1-053-06-005 / 66
Item 4 superseded by N1-053-06-005 / 10
Item 5 superseded by N1-053-06-005 / 77
Item 6 superseded by N1-053-06-005 / 76
Item 7 superseded by N1-053-06-005 / 77
Item 10 superseded by N1-053-06-005 / 10
Item 11 superseded by N1-053-06-005 / 10
1. From (Agency or establishment):
   Department of the Treasury

2. Major subdivision:
   Bureau of the Public Debt

3. Minor subdivision:
   Office of Securities and Accounting Services

4. Name of person with whom to confer:
   Peter Laugesen

5. Telephone Ext:
   376-4102

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 [ ] 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

   A GAO concurrence [ ] is attached, or [ ] is unnecessary

7. Date:
   2/15/87

8. Description of item:
   The records detailed below are generated and/or maintained by the Bureau of the Public Debt and the Federal Reserve Banks for the TREASURY DIRECT Book-entry Securities System. TREASURY DIRECT was designed as an integrated book-entry system that will provide a comprehensive range of services to individual investors in Treasury bonds, notes and bills. Benefits will be realized not only by investors but also by system users including Fiscal operations at Federal Reserve offices and the Department of the Treasury. In taking advantage of the existing communications network that links Federal Reserve offices and Treasury, TREASURY DIRECT will enable an investor to conduct certain transactions at a local servicing office that can be handled at the present time only in Washington. Investors will be provided with many new services, such as payment of interest, redemption or refunds by direct deposit to their accounts at financial institutions.

9. Grs or superseeded job citation:
   8/17/87

10. Action taken (NARS use only):
    [ ]

All changes to this proposed schedule have been approved by:

[ ]

[ ]

Bureau of the Public Debt

9-18-87

[9-18-87]

[TRT]
1. **Original Issue Loan File (Bonds, Notes and Bills).** The forms, facsimile copies of the forms or other written communications which meet the criteria of the forms listed below are the supporting documents relating to original issues of Treasury bonds, notes, and bills. Each file contains information pertaining only to one loan.

- PD 5174-1 Tender for 2-3 Year Treasury Note
- PD 5174-2 Tender for 4 Year Treasury Note
- PD 5174-3 Tender for 5-10 Year Treasury Note
- PD 5174-4 Tender for Treasury Bond
- PD 5176-1 Tender for 13-Week Treasury Bill
- PD 5176-2 Tender for 26-Week Treasury Bill
- PD 5176-3 Tender for 52-Week Treasury Bill

**MICROFILM AFTER PROCESSING. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7 YEARS AFTER FILMING.**

2. **Case File Records.** All the forms, facsimile copies of forms or other written communications which meet the criteria of the forms listed below are supporting documents for bond, note, and bill transactions other than original issue, i.e., new account request, transfers, exchanges, and redemptions. Each file contains the following types of records pertaining to one loan for one fiscal year.

- PD 5178 Transaction Request
- PD 5179 Security Transfer Request
- PD 5180 Reinvestment Request
- PD 5181 Request for Treasury Bill Reinvestment (Card)
- PD 5182 New Account Request

**MICROFILM AFTER PROCESSING. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7 YEARS AFTER FILMING.**
3. **Supporting Form Records.** These are the non-system forms that support TREASURY DIRECT transactions and are maintained for legal purposes and the protection of investor rights.

a. PD 5188  
Power of Attorney for Disposition of Securities

PD 5189  
Resolution for Disposition of Securities

PD 5201  
Disposition of Payment and Securities for Non-Administered Estate

*MICROFILM AFTER PROCESSING. DESTROY 7 YEARS AFTER THE OCCURRENCE OF THE TRANSACTION FOR WHICH THE DOCUMENT SUPPORTS.*

b. PD 5190  
Application for Recognition as Voluntary Guardian of an Incompetent

PD 5191  
Application for Recognition as Natural Guardian of a Minor

*MICROFILM AFTER PROCESSING. DESTROY 7 YEARS AFTER THE LAST TRANSACTION BY THE VOLUNTARY OR NATURAL GUARDIAN.*

c. PD 5192  
Stop Payment/Replacement Check Request

PD 5199  
Transmittal Advice

*MICROFILM AFTER PROCESSING. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7 YEARS AFTER FILMING.*


*MICROFILM IMMEDIATELY. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7 YEARS AFTER FILMING.*

5. **Maintenance, Suspense and History Reports.**


MICROFILM IMMEDIATELY. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7 YEARS AFTER FILMING.


MICROFILM IMMEDIATELY. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 1 YEAR AFTER FILMING.

7. Payment and Check/ACH Reports.

Payment Reports. Loan Maturity Report, Consolidated Payment Register, Daily Payment Due Report, Summary of Payments Reports Produced, Automatic Freeze Requested Report, Payments Due on Accounts with Foreign Withholding, and Payments Due on Accounts with Treasury Review.

8. **Security Officer's Reports.**

PSWVIO-Site - Security Officer's Report - Password Violation

TD515BO - Security Officer's Report - Security Violation Report

TD23 - Security Officer's Request for Logon ID

DESTROY AFTER 1 YEAR.


DESTROY AFTER 1 YEAR.


MICROFILM IMMEDIATELY. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7 YEARS AFTER FILMING.


MICROFILM IMMEDIATELY. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7 YEARS AFTER FILMING.

12. **Active and Inactive Masterfile.**

a. **Active Masterfile.** This file contains all information concerning the identity, terms and conditions of the loans eligible to be held in this system. Delete file when account becomes inactive. Write file to Inactive Masterfile. FILE WILL BE PURGED AS NEEDED AND AS APPROPRIATE TO THE INACTIVE MASTERFILE BELOW.

b. **COMfilm of Updated Inactive Masterfile.** This file is created when loans are purged from the Active Masterfile (usually annually). 

DESTROY MICROFILM WHEN REPLACED BY NEW COMFILM OF UPDATED INACTIVE MASTERFILE.

i) Machine readable version: Destroy when latest COMfilm is produced.

ii) COMfilm: Destroy microfilm when superseded by updated version (usually annually).
Eleanor J. Holsopple
Assistant Commissioner
Office of Securities and Accounting Services

Calvin Nimomiya
Chief Counsel

3/4/87

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