

**REQUEST FOR AUTHORITY  
 TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

<b>LEAVE BLANK</b>	
DATE RECEIVED <b>12 APR 1977</b>	JOB NO. <b>77 1</b>
DATE APPROVED <b>APR 1 1977</b>	

*8-2-77 James B Rhoads*  
Date Chief of the Unit

TO: **GENERAL SERVICES ADMINISTRATION,  
 NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON 25, D. C.**

1. FROM (AGENCY OR ESTABLISHMENT)  
Board of Governors of the Federal Reserve System

2. MAJOR SUBDIVISION  
Office of the Secretary

3. MINOR SUBDIVISION  
Records Section

4. NAME OF PERSON WITH WHOM TO CONFER  
Frances R. Williams

5. TEL. EXT.  
452-3280

**CERTIFICATE OF AUTHORITY**

In accordance with the provisions of Public Law 89-346, the disposal request, including all attachments, is approved except for the records listed below which should not be disposed of until the date indicated in column 10.

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the disposal of records, and that the records described in this list or schedule of 4 pages are proposed for disposal for the reason indicated: ("X" only one)

- A** The records have ceased to have sufficient value to warrant further retention.
- B** The records will cease to have sufficient value to warrant further retention on the expiration of the period of time indicated or on the occurrence of the event specified.

April 8, 1977 (Date) *Johnstone E. Allen* (Signature of Agency Representative) Secretary of the Board (Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>The Board of Governors of the Federal Reserve System is responsible for the regulation and supervision of bank holding companies.</p> <p>Applications, declarations, notifications and reports included on the attached schedule are required under the Bank Holding Company Act and the Board's Regulation Y. (Copy of Regulation attached)</p> <p>The files are maintained in the Records Section. Items 1 - 10 are filed by district and then alphabetically by state, city and name of the company and thereunder chronologically. Item 11 is filed by category in chronological order.</p> <p style="text-align: center;">SEE SCHEDULE ATTACHED</p>		

*Sent to agency. NCW-NHB-NNFL - 8/4/77* 31 items

Records Control Schedule for Bank Holding Company Records of the Board

Federal Reserve Board

<u>Item No.</u>	<u>Type of Record</u>	<u>Retention Period in Records Section</u>	<u>Retention Period in Federal Records Center</u>	<u>Disposition at End of Retention Periods</u>
1	<u>Applications, Notifications, and Determinations</u>			
a.	3(a)(1)	3 years	10 years	1a. Destroy when 13 years old
b.	3(a)(3)	3 years	10 years	b. Destroy when 13 years old
c.	3(a)(5)	3 years	10 years	c. Destroy when 13 years old
d.	4(c)(4)	Destroy in office when administrative use ceases.		d. Destroy in office. Do not transfer to FRC.
e.	4(c)(8)	3 years	10 years	e. Destroy when 13 years old
f.	4(c)(9)	Destroy in office when administrative use ceases.		f. Destroy in office. Do not transfer to FRC.
g.	4(c)(13)	5 years		g. Destroy in office. Do not transfer to FRC.
h.	4(d)	Destroy in office when administrative use ceases.		h. Destroy in office. Do not transfer to FRC.
i.	2(g)(3)	10 years		i. Destroy in office. Do not transfer to FRC.
2.	<u>Declarations and Notifications</u>			
	4(c)(12)	Until 1984		2. Destroy in office. Do not transfer to FRC.
3.	<u>DeNovo- Notifications</u>	10 years		3. Destroy in office. Do not transfer to FRC.

Federal Reserve Board

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4.	<u>Reports of Inspection of Operations &amp; Conditions</u>	10 years		4. Destroy in office. Do not transfer to FRC.
5.	<u>Annual Reports</u>			
a.	Form F.R. Y-6	5 years	10 years	5a. Destroy when 15 years old
b.	Form F.R. Y-7	5 years	10 years	b. Destroy when 15 years old
6.	<u>Annual Report Reviews</u>	Keep 5 years and microfilm. Destroy paper when film is verified.		6. Destroy film when administrative use ceases.
7.	<u>Registration Statements</u>			
a.	Form F.R. Y-5	Until 1984--in order to monitor divestitures		7a. After 1984 <u>destroy</u> state- ments on file more than 5 years
b.	Form F.R. Y-5(a)	"		b. "
c.	Foreign	"		c. "
8.	<u>Documents filed with the SEC</u> 3/			
a.	Registration Statements	3 years	10 years	8a. Destroy when 13 years old
b.	Form 10K	3 years	10 years	b. Destroy when 13 years old.

Federal Reserve Board

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c.	Prospectus	3 years	10 years	c. Destroy when 13 years old
9.	<u>Correspondence re Individual BHC's</u> (press releases, orders, memos, incoming and outgoing letters, Federal Register notices, etc.)	Keep 10 years and microfilm. Destroy paper when film verified.		9. Destroy film when administrative use ceases.
10. a	<u>Litigation File</u> (Includes exhibits and transcripts)	3 years	10 years	10a. Destroy when 13 years old
		10 b. (Briefs, motions and court opinions will be retained in the Records Section and destroyed when administrative use ceases.		b. Destroy in office. Do not transfer to FRC.
11.	<u>Other Files</u>			
a.	Correspondence re BHC Act and Regulation Y <b>consisting of correspondence, memos, copies of press releases, and orders relating to policies and procedures established for BHCs; legislation and interpretations of Board regulations and laws.</b>	Permanent <b>Arranged by file number and thereunder chronologically.</b>		a. Break files in 10 year segments. Offer to National Archives and Records Service when 20 years old.
b.	Comments from the public on regulatory proposals	5 years	10 years	b. Destroy when 15 years old.
c.	Change in Ownership	10 years		c. Destroy in office. Do not transfer to FRC.

## Federal Reserve Board

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d.	Miscellaneous Individual Organization Name Files (Determination of status, etc.)	Keep 10 years and microfilm. Destory paper when film verified.		d. Destroy film when adminis- trative use ceases.
e.	Form F.R. Y-8 (Report of Intercompany Transactions and Balances)	10 years		e. Destroy in office. Do not transfer to FRC.
f.	Federal & State Statutes	Hold for Office Use		f. Destroy when obsolete or superseded. Do not offer to NARS. Do not transfer to FRC.
g.	Survey of One Bank Holding Companies (1965-1966)	Hold for Office Use		g. Destroy when administrativ use ceases. Do not transfe to FRC.

3/ These retentions are for documents filed separately. If submitted as part of a larger document, the retention of the larger document should be followed.