

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408	
1 FROM (Agency or establishment) <b>Securities &amp; Exchange Commission</b>	
2 MAJOR SUBDIVISION <b>Office of Filings &amp; Information Services</b>	
3 MINOR SUBDIVISION <b>Office of Investor Education &amp; Assistance</b>	
4 NAME OF PERSON WITH WHOM TO CONFER  Larry Mills	5 TELEPHONE  202-942-7805

<b>LEAVE BLANK (NARA use only)</b>	
JOB NUMBER <i>11-266-02-1</i>	
DATE RECEIVED <i>8/16/02</i>	
<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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
DATE <i>1-14-03</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>

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 \_\_\_\_\_ 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 <i>8/16/02</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Larry Mills</i>	TITLE Records Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
<i>6/4/10</i> <i>AMC</i> 1	<p>OIEA - Office of Investor Education and Assistance</p> <p>Complaint Handling, Assignment, Response and Tracking System (CHART), a substantive Agency program, <i>and all subsequent/successor systems.</i></p> <p>a. CHART copy (Electronic) Temporary. Cut-off semi-annually. Retain for a period of four years from the date of investor's last contact or four years from the CHART entry (date document electronically imaged), whichever is later.</p> <p>b Documents too voluminous to justify imaging and other items not capable of being imaged Temporary. Cut-off semi-annually Retain in-house for a period of four years from the date of receipt or four years from the date of investor's last contact, whichever is later</p> <p>c Original paper documents Temporary Destroy four months after verification that valid electronic copies have been made and stored in CHART.</p> <p><i>cc Agency IR NARME</i></p>	N1-266-98-1 (Item 8 - Office of Investor Education & Assistance)	