
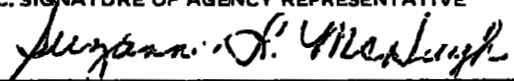


<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO: <b>GENERAL SERVICES ADMINISTRATION</b> <b>NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408</b>		JOB NO.	N1-266-91-1
1. FROM (Agency or establishment) <b>Securities and Exchange Commission</b>		DATE RECEIVED	5-23-91
2. MAJOR SUBDIVISION <b>Office of Filings, Information &amp; Consumer Services</b>		NOTIFICATION TO AGENCY	
3. MINOR SUBDIVISION		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
4. NAME OF PERSON WITH WHOM TO CONFER <b>Suzanne L. McHugh</b>	5. TELEPHONE EXT. <b>272-7210</b>	DATE <b>12-21-92</b>	ARCHIVIST OF THE UNITED STATES 
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 12 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.

B. DATE <b>5/10/91</b>	C. SIGNATURE OF AGENCY REPRESENTATIVE 	D. TITLE <b>Records Officer</b>
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7. ITEM NO.	8. DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN <i>(INARS USE ONLY)</i>
	<p>This request for records disposition authority covers those records which were contingent, changed in disposition authority, or were not covered by the GRS. A justification table of retention values with the schedule item number and key file number assignments has also been included.</p> <p><i>"This certifies that the records described on this form were and will be microfilmed in accordance with the standards set forth in 36 CFR Part 1230"</i></p> <p><i>09-25-92 OK per Suzanne McHugh SEC Records Officer</i></p> <p><i>Copies sent to agency NN-W, NNT NCF, NIA 1/4/93</i></p>		

REVISED

ITEM NO	DESCRIPTION	DISPOSITION	JOB NUMBER
1	Investigative Case Files (also known as "complaint cases" and "general assignment files"), including case files relating to preliminary investigations.	Temporary. Cutoff when case is closed. Transfer to FRC and destroy 25 years after cutoff.	NC1-266-76-1-1 <i>Item resubmitted. Please see NI-266-91-2</i> WITHDRAWN
2	Inactive Investigation Case Files.  For purposes of record retention and disposition, a case is considered inactive when a significant additional expenditure of Commission resources is neither scheduled nor anticipated. Examples of common occurrences of case inactivity are: (1) the subject of the case is a fugitive from justice; or (2) the Commission case is substantially complete but for (a) a distribution, repayment or similar plan that is scheduled to occur over time, with no anticipated need for further Commission action, or (b) a pending criminal proceeding related to the Commission's case that does not actively involve the Commission.	Temporary. Transfer to FRC when the Commission determines the case is inactive. Destroy 25 years after transfer to FRC.	NC1-266-76-1-2  <i>Item resubmitted. Please see NI-266-91-2</i>  WITHDRAWN
3	2-00-1,-3,-4,-5  Registration statements and amendments thereto and Commission orders fixing effective date(s) and/or consenting to withdrawal of registration statement(s) or amendment(s) and related correspondence (Regulation C) (Forms S-1, S-2 or equivalent.) (17 CFR 230.400 et seq.) Maintained in microform and paper.	1. Permanent. a. Silver Roll Microfiche - Retire to FRC immediately. After 5 years, transfer to NARA.  b. Diazo Microfiche - Cut off annually. Retain in-house 3 years. Transfer to FRC. Then transfer to NARA when 30 years old.  2. Correspondence: Cut off annually. Retain in-house 3 years. Transfer to FRC. Destroy	NC1-266-83-5-1

REVISED

ITEM NO	DESCRIPTION	DISPOSITION	JOB NUMBER
4	24-00-1, -3, -4, -5 Notification of exemption from registration (Regulation A) (Forms 1-A through 6-A) (17 CFR 230.251 et seq.) Commission orders terminating or abandoning Offering Statement under Regulation A. Maintained in microform and paper.	<del>when 30 years old</del> <i>from cut off</i> Temporary. Cut off after completion or termination of offering or order of the Commission permanently suspending exemption, whichever comes first. Destroy 10 years from final action.	NC1-266-77-2-2
5	9-00-1, -3 Notice of proposed resale of restricted securities and resale of securities by control persons (Form 144 adopted April, 1972) (17 CFR 230.144). Maintained in microform and paper.	Temporary. Cut off annually. Retain in-house 3 years and transfer to Federal Records Center (FRC). Destroy 18 years from <i>cut off</i> transfer.	NC1-266-77-2-6
6	92-00-1, -3 Application for relief from disability - Regulation A and related correspondence (17 CFR 230.252(f)). Maintained in microform and paper.	Temporary. Cut off when final action on appeal is taken. Retain file in-house 3 years and transfer to Federal Records Center (FRC). Destroy 10 years from <i>cut off</i> final action.	NC1-266-82-1-2
7	95-00-1, -3 Notification of exemption for securities issued by a Small Business Investment Company (Forms 1-E, 2-E) and related correspondence (17 CFR 230.601). Maintained in microform and paper.	Temporary. Cut off after completion or termination of offering or order of Commission permanently suspending exemption, whichever comes first. Retain file in-house 3 years and transfer to FRC. Destroy 5 years from <i>cut off</i> final action.	NC1-266-83-5-5
8	2-00-2 Periodic reports - e.g. Forms 10-K, 11-K, 12-K, 18-K, 19-K, 20-F, 10-Q, 6-K, or 8-K.	Permanent. a. Silver Roll Microfiche - Retire to FRC immediately. <del>After 5 years</del> , Transfer to NARA. when 30 years old	NC1-266-77-2-13

REVISED

ITEM NO	DESCRIPTION	DISPOSITION	JOB NUMBER C. Reports maintained
	Maintained in microform.		solely in paper (1935-1980 and 1992-1998)-Cut off annually. Transfer when 30 years old - Lauren Crisler, 1/13/14
9	0-00-2, 1-00-2  Annual, quarterly, current reports (Forms 10-K, 18-K, 19-K, 20-F, U5S, N-1R, 10-Q) (17 CFR 240.13a-1, 2, 10, 13). Maintained in microform.	Permanent. a. Silver Roll Microfiche - Retire to FRC immediately. After <del>5</del> <i>years</i> , Transfer to NARA. <i>when 30 years old.</i> b. Diazo Microfiche - Cut off annually. Retain in-house 5 years. Transfer to FRC. Retain 30 years, then transfer to NARA.	NC1-266-77-2-17 C. Reports maintained solely in paper (1935-1980 and 1992-1998)-Cut off annually. Transfer when 30 years old - Lauren Crisler, 1/13/14
10	0-00-2, 1-00-2  Proxy soliciting material (17 CFR 240.14a). Maintained in microform.	Permanent. a. Silver Roll Microfiche - Retire to FRC immediately. After <del>5</del> <i>years</i> , Transfer to NARA. <i>when 30 years old.</i> b. Diazo Microfiche - Cut off annually. Retain in house 5 years. Transfer to FRC. Retain for 30 years, then transfer to NARA.	NC1-266-77-2-18 C. Reports maintained solely in paper (1935-1980 and 1992-1998)-Cut off annually. Transfer when 30 years old - Lauren Crisler, 1/13/14
11	5-1, 5-2, 5-3, 5X  Acquisitions, tender offers and solicitations (Schedules 13D, 14D) (17 CFR 240.13d-1, 240.14d-1, 240.14f-1). Maintained in microform and paper.	Temporary. Cut off annually. Retain in house 3 years. Transfer to FRC. Destroy <del>when</del> <i>20 years from cut off.</i>	NC1-266-82-1-4
<del>12</del>	<del>8-00-1, -2, -2A, -2B, -3, -4, -5  Applications for registration as broker, dealer, municipal securities broker, or government securities broker or dealer and related reports (Forms BD, EDW, X-17A-5, 7-M,</del>	<del>Temporary 1. Form X-17-a-5: Cut off annually. Retain in-house 3 years; transfer to FRC for additional 7 years, then destroy.  Permanent</del>	<del>NC1-266-77-2-23  WITHDRAWN</del>

REVISED

ITEM NO	DESCRIPTION	DISPOSITION	JOB NUMBER
	<p>8-M, 9-M, 10-M) (17 CFR 240.15b1-1 through 15b6-1, 15Ca1-1 through 15Cc1-1, 17a-5, 17a-17(a), 17a-7(b)(1); 17CFR 249.501, 501a, 507, 508, 509 and 510) and related correspondence.</p> <p>Commission orders fixing effective dates of broker-dealer registration application(s).</p> <p>Maintained in microform and paper.</p>	<p>2. a. Cut off when a B/D's withdrawal from registration becomes effective. Retain in-house for 10 years; transfer to FRC for additional 10 years, then transfer to NARA for permanent retention.</p> <p>b. Correspondences. Cut off annually. Retain in-house 3 years. Transfer to FRC. Destroy <del>20</del> years after transfer. <i>from cut off.</i></p>	
13	<p>8-00-9</p> <p>Uniform application for securities and commodities industry representative and/or agent; certification for associated persons engaged in securities activities outside the jurisdiction of the United States; annual assessment form for registered brokers and dealers not members of a registered national securities association. (Forms U-4, SEDD 2-F, SEDD-4, 5) (17 CFR 240.15b8-1, 15b9-1, 2). Maintained in microform.</p>	<p>Permanent. Cut off when a B/D's withdrawal from registration becomes effective. Retain in-house 10 years. Send to FRC for 10 years, then transfer to NARA for permanent retention.</p>	<p>NC1-266-77-2-28</p> <p>WITHDRAWN</p>
14	<p>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. Maintained in paper.</p>	<p>Permanent. a. Cut off after exchange no longer is registered with the Commission. Retain inspection reports and related materials in-house for 3 years. Then transfer to NARA for permanent retention when 25 years old.</p> <p>b. Correspondence. Cut off annually. Retain in-house 3 years. Transfer to FRC. Destroy when 25 years old. <i>from cut off.</i></p>	<p>NC1-266-82-1-5</p>

REVISED

ITEM NO	DESCRIPTION	DISPOSITION	JOB NUMBER
	<p>Adoption of applications filed by predecessors (17 CFR 240.15Ba2-b).</p> <p>Notices of withdrawal from registration as municipal securities dealers (Forms MSDW)(17 CFR 240.15Bc3-1; 17 CFR 249.1110).</p> <p>Commission orders fixing effective dates of municipal securities dealer registration applications.</p> <p>Maintained in microform and paper.</p>	<p>b. Correspondence: Cut off annually. Retain in-house 3 years. -- Transfer to FRC. Destroy <b>20</b> years after transfer. <i>cut off.</i></p>	
19	<p>87-00-1, -3</p> <p>Application for registration as a securities information processor and amendments thereto (Form SIP) (17 CFR 240.11Ab2-1, 11Ab2-2) (17 CFR 249.1101), and related correspondence. Maintained in paper.</p>	<p>Permanent. a. Cut off after securities information processor no longer is registered. Retain in-house 10 years; transfer to FRC for 10 years; then transfer to NARA for permanent retention.</p>	<p>NC1-266-82-1-9</p> <p>WITHDRAWN</p>
20	<p>88-00-1, -3</p> <p>Application for exemption as a securities information processor (17 CFR 240.11AB2-1(c)) and related correspondence. Maintained in paper.</p>	<p>Permanent. Cut off after securities information processor no longer has reporting requirements to Commission. Retain in-house 15 years; then transfer to FRC for 5 years; then transfer to NARA for permanent retention.</p>	<p>NC1-266-77-2-40</p> <p>WITHDRAWN</p>
21	<p>84-00-1, -3,-4</p> <p>Application for registration as a transfer agent (non-bank) and amendments thereto (Form TA-1) (17 CFR 240.17A2-1; 17 CFR 249b.100) and related correspondence.</p> <p>Notices of withdrawal for</p>	<p>Permanent. a. Cut off after transfer agent no longer is registered. Retain in-house for 10 years; transfer to FRC for 10 years; then transfer to Archives for permanent retention.</p> <p>b. Correspondence:</p>	<p>NC1-266-82-1-10</p> <p>WITHDRAWN</p>

REVISED

ITEM NO	DESCRIPTION	DISPOSITION	JOB NUMBER
15	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) amendments, supplements and related correspondence. Maintained in paper.	Permanent. a. Cut off when Association no longer is registered. Retain in-house for 15 years; transfer to FRC for 10 years; then transfer to NARA permanently. b. Correspondence: Cut off annually. Retain in-house 3 years. Transfer to FRC. Destroy <del>20</del> years after transfer, from cut off.	NC1-266-82-1-7  WITHDRAWN
16	600-1, -3, -4 Applications for registration as a (non-Bank) clearing agency, amendments thereto and notices concerning fingerprinting requirements (Form CA-1) (17 CFR 240.17Ab2-1; 17 CFR 249b.200). Maintained in microform and paper.	Permanent. a. Cut off when clearing agency no longer is registered with the Commission. Retain in-house 10 years. Transfer to FRC for 10 years; then transfer to NARA for permanent retention. b. Correspondence: Cut off annually. Retain in-house 3 years. Transfer to FRC. Destroy <del>20</del> years after transfer, from cut off.	NC1-266-77-2-36  WITHDRAWN
17	601-00-1, -3 Applications for exemption from registration as a (non-bank) clearing agency and related correspondence. Maintained in <u>paper</u> . <i>1 cubic foot/year</i>	Temporary. Cut off when clearing agency no longer has reporting requirements. Retain in-house 10 years. Transfer to FRC and destroy 20 years after cut off.	NC1-266-77-2-37
18	86-00-1, -3 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 240.15Ba2-1 through 15Ba2-5; 17 CFR 249.1100), and related correspondence.	Permanent. a. Cut off after municipal securities dealer no longer is registered with the Commission. Retain in-house for 15 years; transfer to FRC for 5 years; then transfer to NARA for permanent retention.	NC1-266-77-2-38  WITHDRAWN

REVISED

ITEM NO	DESCRIPTION	DISPOSITION	JOB NUMBER
	registration as transfer agents (Form TA-W) (17 CFR 240.17Ac3-1).  Maintained in microform and paper.	Cut off annually. Retain in-house 3 years. Transfer to FRC. Destroy 17 years after transfer.	
22	85-00-1, -3  Application for registration as a transfer agent (bank) and amendments thereto (Form TA-1). These are copies of forms filed with agencies indicated. On November 19, 1975, file numbers were allocated and will be assigned by the following organizations: Federal Deposit Insurance Corp., 85-1 through 85-4999; Federal Reserve System, 85-5000 through 85-9999; Comptroller of the Currency, 85-10,000 through 85-19,999), and related correspondence.	Permanent. a. Cut off until Transfer Agent is no longer registered with the Commission. Retain in-house 10 years; transfer to FRC for 10 years; then transfer to NARA permanently.  b. Correspondence: Cut off annually. Retain in-house 3 years. Transfer to FRC. Destroy 17 years after transfer.	NC1-266-77-2-42  WITHDRAWN
23	70-00-1, -3  Applications and Declarations pursuant to Sections 6(b), 7, 9, 9(c)(3), 10, 12(b), 12(c), 12(d), 12(f) and applicable rules thereunder (Form U-1) (17 CFR 250.22, 42, 43, 44-46, 50) (17 CFR 259.101), and related correspondence.  Commission order(s) and notices relating to applications or declarations on Form U-1.  Maintained in <u>microform</u> and paper.	Temporary. Cut off when closed. Transfer to FRC. Destroy 3 years after <del>transfer.</del> cut off.	NC1-266-77-2-44
24	50-00-1, -3  Order granting or withdrawing exemptions from rules and related correspondence.	Temporary. Cut off when closed. Transfer to FRC. Destroy 3 years after <del>date of transfer.</del> cut off.	NC1-266-77-2-45

*1 cubic foot/year*



REVISED

ITEM NO	DESCRIPTION	DISPOSITION	JOB NUMBER
	Maintained in microform and <u>paper.</u>	<i>1 cubic foot/year</i>	
25	52-00-1, -3  Application for approval of reorganization under Section 11(f) of the Act and related correspondence. Maintained in <u>paper.</u>	Temporary. Cut off when closed. Transfer to FRC. Destroy 3 years after <del>transfer.</del> <i>cut off</i>	NC1-266-77-2-46
		<i>1 cubic foot/year</i>	
26	54-00-1, -3  Divestment of securities, assets or control Section 11(e) of the Act and related correspondence. Maintained in <u>microform and paper.</u>	Temporary. Cut off when closed. Transfer to FRC. Destroy 3 years after <del>transfer.</del> <i>cut off</i>	NC1-266-77-2-47
		<i>1 cubic foot/year</i>	
27	55-00-1, -3  Application for approval of fees incurred in connection with plan under Section 11(f) of the Act and related correspondence. (17 CFR 250.63). Maintained in <u>paper.</u>	Temporary. Cut off when closed. Transfer to FRC. Destroy 3 years after <del>transfer.</del> <i>cut off</i>	NC1-266-77-2-48
		<i>1 cubic foot/year</i>	
28	59-00-1, -3  Simplification of corporate structure, Sections 11(b)(1) and (2) of the Act and related correspondence.  <u>Maintained in microform and paper.</u>  (* ) A file is "closed" when the transaction(s) proposed and/or other issues raised are finally resolved by an appropriate Commission order which does not expressly reserve jurisdiction with respect to any further matters, and the applicant or declarant has consummated such transaction(s) or taken such other steps as may be required to fully comply with the terms	Temporary. Cut off when closed. Transfer to FRC. Destroy 3 years after <del>transfer.</del> <i>cut off</i>	NC1-266-77-2-49
		<i>1 cubic foot/year</i>	

REVISED

ITEM NO	DESCRIPTION	DISPOSITION	JOB NUMBER
	and conditions imposed by the Commission in its order.		
29	<p>40-00-1, -3</p> <p>Certificates of notification by registered holding companies and subsidiaries, of security issues exempted from Section 6(a) by Section 6(b) or exempt under Rule 47(b) and not the subject of an order of the Commission. (Form U-6B-2) (17 CFR 250.47(b); 17 CFR 259.206), and related correspondence. Maintained in <u>microform and paper</u>.</p>	<p>Temporary. Cut off annually. Retain in-house 2 years. Transfer to FRC. Destroy <del>3</del> years after <i>cut off</i>. <del>transfer</del>.</p> <p><i>1 cubic foot/year</i></p>	NC1-266-77-2-51
30	<p>12-1, 12-1-1</p> <p>Statements pursuant to Section 12(i) by persons employed or retained by a registered holding company or subsidiary thereof (Forms U-12(I)-A &amp; B) (17 CFR 250.71(a) &amp; (b); 17 CFR 259.212a &amp; 212b), and related correspondence. Maintained in <u>microfiche and paper</u>.</p>	<p>Temporary. Cut off annually. Retain in-house 1 year. Transfer to FRC. Destroy <del>2</del> years after <i>cut off</i>. <del>transfer</del>.</p> <p><i>1 cubic foot/year</i></p>	NC1-266-77-2-52
31	<p>38-00-1, -3</p> <p>Statement under Rule 70(a)(1) executed by financial institution authorizing representative to serve as officer/director of holding company, filed by representative (17 CFR 250.70(a)(1)).</p> <p><i>paper</i></p>	<p>Temporary. Cut off when officer/director no longer serves. Retain in-house 2 years. Transfer to FRC. Destroy <del>3</del> years after <i>cut off</i>. <del>transfer</del>.</p> <p><i>1 cubic foot/year</i></p>	NC1-266-77-2-53
32	<p>62-00-1, -3</p> <p>Report by an affiliate service company or one engaged principally in the performance of services (Form U-13E-1) (17 CFR 250.95; 17 CFR 259.213.), and related correspondence. Maintained in microform and</p>	<p>Temporary. Cut off after service company no longer is part of a registered holding company system. Retain in-house 2 years. Transfer to FRC. Destroy <del>2</del> years after <i>transfer cut off</i>.</p>	NC1-266-77-2-54

REVISED

ITEM NO	DESCRIPTION	DISPOSITION	JOB NUMBER
33	paper. 49-00-1, -3 Annual report by mutual and subsidiary service companies (Form U-13-60) (17 CFR 250.94; 17 CFR 259.313), and related correspondence. Maintained in microform and paper.	Temporary. Out off when service company no longer is part of a registered holding company system. Retain in-house 5 years. Transfer to FRC. Destroy 15 years after transfer. <i>cut off.</i> 1 cubic foot/year	NC1-266-77-2-59
34	STATEMENTS AND REPORTS FROM UNREGISTERED (EXEMPT) COMPANIES 31-00-1, -3 Statement of exemption from the Act by Commission order (17 CFR 250.7(b)(4)), and related correspondence. Maintained in microform and paper.	Temporary. Out off when company no longer relies on exemption. Retain in-house 5 years and then transfer to FRC. Destroy 10 years after transfer. <i>cut off.</i> 1 cubic foot/year	NC1-266-77-2-62
35	22-00-1, -3 Statements of eligibility and qualification of corporations or individuals as trustees under qualified indenture under which debt security has been or is to be issued and exemptions thereto (Forms T-1, T-2, T-3, T-4) (17 CFR 260.5a-1(a), (b), 7a-1, 5a-1; 17 CFR 269.1, 2, 3, 4), and related correspondence. Maintained in microform and paper.	Temporary. Out off when the indenture is terminated or cancelled. Retain in-house 3 years and then transfer to FRC. Destroy 30 years from transfer. 1 cubic foot/year	NC1-266-77-2-63
36	812-00-1, -3 Application by foreign management investment companies for order permitting registration (17 CFR 270.7d-1), and related correspondence.	Temporary. Out off after registrant no longer has reporting requirement. Retain in-house 3 years and transfer to FRC. Destroy 33 years after transfer. <i>cut off.</i>	NC1-266-77-2-68

REVISED

ITEM NO	DESCRIPTION	DISPOSITION	JOB NUMBER
	Commission notices and orders for exemptive relief.  Maintained in microfiche and paper.	<i>2 cubic feet/year</i>	
37	B-00-3X  Examination/Inspection reports of brokers and dealers, investment companies and investment advisors. <u>Maintained in paper.</u>	Temporary. 1. Examination Reports: a. HOME OFFICE. Cut off after last broker-dealer/investment advisor examination/inspection. Transfer immediately to FRC. Destroy 13 years after transfer. <i>cut off.</i> b. REGIONAL OFFICES. Cut off after last broker-dealer/investment advisor examination/inspection. Transfer immediately to FRC. Destroy 13 years after transfer. <i>cut off.</i>  2. Examination Workpapers: Retain in regional office for 1 year; transfer to FRC. Destroy 13 years after transfer. <i>cut off.</i>	NC1-266-77-2-86
38	B-00-2A  Annual audit report (fiscal or calendar year basis) (Forms X-17A-5) (NON-PUBLIC)  Supplemental report detailing Securities Investor Protection Corporation assessment payment or overpayments (Rule 17a-5) (NON-PUBLIC)  <u>Maintained on microform.</u>	<i>4 cubic feet/year</i> Temporary. Cut off when broker-dealer no longer registered with Commission. Retain in-house for 3 years. Transfer to FRC and destroy 13 years after transfer. <i>cut off.</i>	NC1-266-79-2-17
<del>39</del>	<del>26-00-1  Plans by exchanges authorizing payment of special commission</del>	<del>Permanent. Cut off when exchange no longer registered with Commission.</del>	<del>NC1-266-79-2-32</del>

WITHDRAWN

REVISED

ITEM NO	DESCRIPTION	DISPOSITION	JOB NUMBER
	in connection with a distribution of securities on exchanges (Rule 10b-2(d)). Maintained in paper.	Retain in-house for 15 years; transfer to FRC for 5 years; then transfer to NARA for permanent retention.	
40	80-00-1 Annual and supplemental reports of Municipal Securities Rulemaking Board (Rule 17a-21). Maintained in paper.	Permanent. Cut off annually. Retain in-house for 10 years; transfer to FRC for 10 years; then transfer to NARA for permanent retention.	NC1-266-79-2-34  WITHDRAWN
41	25-00-1 Applications relative to affiliations between trustees and underwriters (Rule 10b-3). Maintained in paper.	Temporary. Cut off when applicable indenture is terminated or cancelled. Retain in-house 3 years and then transfer to FRC. Destroy 30 years after cut off transfer.	NC1-266-79-2-68
42	813-00-1 Applications for exemption of an employee's security company (Section 6(b)). Maintained in microform.	Temporary. Cut off after registrant no longer has reporting requirement. Retain in-house 3 years and then transfer to FRC. Destroy 30 years after cut off transfer.	NC1-266-79-2-74
43	801-00-1, -3 Application for registration as investment adviser and related correspondence.  a. Forms ADV, ADV-S, ADV-W, 5-R, 6-R, 7-R (17 CFR 275.203-1, 275.203-2, 275.204-1; 17 CFR 279.1 through 279.7)  Maintained in microform and paper.	Temporary. Cut-off after investment adviser no longer registered. Retain in-house 3 years and then transfer to FRC. Destroy 30 years after transfer. cut off.	NC1-266-84-5-1
0	801-00-1, -3  b. Correspondence that contains substantial information about applications for registration as investment	Temporary. Cut-off at the end of calendar year. Transfer to FRC when three years old. Destroy 13 years after transfer to FRC. cut off.  300-400 cubic feet/year transferred in 3-6 accessions	

1 cubic foot/year

2 cubic feet/year

14 cubic feet/year

REVISED

ITEM NO	DESCRIPTION	DISPOSITION	JOB NUMBER
	adviser.		
45	89-00-1, -3  Waiver for Foreign Issuers furnished by American Depository Receipts  a. Waiver - Information furnished by depositaries regarding foreign issuers for Form F-6 waiver of 12g3-2(b) reporting requirements; Annual Reports to Shareholders, F-6 Waiver, Proxy.  Maintained in <u>microform and paper</u> .	Temporary. Cut off annually. Transfer to FRC. Destroy 10 years from <del>transfer</del> <i>cut off.</i>	
46	b. Other waivers.	Temporary. Cut off annually. Transfer to FRC. Destroy 3 years from <del>transfer</del> <i>cut off.</i>	

*3 cubic feet/year*