

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
*(See Instructions on reverse)*

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)  
 WASHINGTON, DC 20408

1 FROM (Agency or establishment)  
 Securities and Exchange Commission

2 MAJOR SUBDIVISION

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER | 5 TELEPHONE  
 Suzanne L. McHugh | 3700  
 (202)-272-7210

**LEAVE BLANK (NARA use only)**

JOB NUMBER  
 NI-266-94-1

DATE RECEIVED  
 1-5-94

**NOTIFICATION TO AGENCY**

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10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 | ARCHIVIST OF THE UNITED STATES  
 2-12-96 | *[Signature]*

**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 3 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	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
12/23/93	<i>Suzanne A. McHugh</i>	RECORDS OFFICER

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Records are derived from paper forms. Maintained on data tapes.  See Attached		

1. Ownership Report System (ORS), 1975 - ongoing

The Ownership Report System contains reports of the buying and selling of stock by individuals with "insider relationships" or beneficial ownership of stock as defined by Sections 12 and 16(a) of the Public Utility Holding Company Act of 1935 and section 30(f) of the Investment Company Act of the 1940. The reports must be filed by directors or officers of an issuer with a class of equity securities registered pursuant to Section 12 of the Securities Exchange Act of 1934 or any beneficial owner of greater than ten percent of such a class of equity securities; by officers or directors of registered holding companies pursuant to Section 17 of the Public Utility Holding Company Act of 1935; by any officer, director, member of an advisory board, investment adviser, affiliated person of an investment adviser, or beneficial owner of more than ten percent of any class of outstanding securities (other than short-term paper) of a registered closed-end investment company, under Section 30(f) of the Investment Company Act of 1940; and by any trust, trustee, beneficiary or settlor required to report pursuant to Rule 16a-8. The information is collected by SEC pursuant to Sections 16(a) and 23(a) of the Securities Exchange Act of 1934; Sections 17(a) and 20(a) of the Public Utility Holding Company Act of 1935; and Sections 30(f) and 38 of the Investment Company Act of 1940.

The data comes from SEC Form 3: Initial Statement of Beneficial Ownership of Securities; SEC Form 4: Statement of Changes of Beneficial Ownership of Securities; and SEC Form 5: Annual Statement of Beneficial Ownership of Securities. The records identify the security traded, the name of the filer and relationship to the issuer of the security, the nature of ownership, the issuer name, security name, date and type of transaction, number of shares and price per share, holdings at the end of the reporting period, reporting form, and date SEC received the form.

Disposition:

A. ORS Master Files, 1975-1987. Files are not comprehensive. Destroy when no longer needed for agency use.

B. ORS Official Summary of Security Transactions and Holdings, 1978- ongoing.

i. Monthly files, 8/78 - 12/86. **Permanent**. Transfer immediately to the National Archives.

ii. Monthly files, 1/87 - 1/90. (Transactions for this time period are also recorded in the Monthly "Cumulative" file, below at iii.) Destroy when no longer needed for agency use.

iii. Monthly "Cumulative" File, 7/11/86 - 4/10/91.

a. All releases, 7/86 - 2/91. Destroy when no longer needed for agency use.

iv. Final release (data on transactions from 7/11/86 - 4/10/91). **Permanent.** Transfer immediately to the National Archives.

lv. Monthly files, 4/11/91 - 1/10/94. **Permanent.** Transfer immediately to the National Archives.

vi. Transactions, 1/11/94 - ongoing. **Permanent.** Cut off annually. Transfer annual files to the National Archives along with related documentation when one year old. (Records of 1994 transactions to be transferred to the National Archives at the end of 1995, etc.)

## 2. Broker-Dealer Directory (BD), 1979 - ongoing.

These files contains records on currently active and inactive broker-dealers and firms registered with the SEC under the Exchange Act of 1934. The records date from 1935. The information profiles broker dealers by recording date registered, name and address of business, number of principals in business (prior to January 1964), stock exchanges in which the firm is a member, types of business activity, beneficial ownership, and past illegalities. Data come from SEC Form BD: Uniform Application for Broker-Dealer Registration; SEC Form BDW: Uniform Request for Withdrawal from Registration as a Broker Dealer and SECO-5 and X-17A-19.

### Disposition:

A. Releases from 2/83 through 11/93 (data ranging from 1935 to 11/1993). Destroy when no longer needed for agency use.

B. Release of 12/8/93 (data ranging from 1935 to 12/1993). **Permanent.** Transfer immediately to the National Archives.

C. Post-12/93. **Permanent.** Transfer final version to the National Archives, with appropriate documentation, upon termination of computerized version of the BD Directory.

## 3. Investment Adviser Directory (I/A), 1979 - ongoing.

These files contain records on investment advisers (sole proprietors, partnerships, corporations, or other organizations) registered with the Securities and Exchange Commission. The records profile investment advisers, including date registered, name and address of business, number of principals in business, states in which firm is registered to do business, the number of clients to whom the applicant provided advisory services during the fiscal year prior to the application, whether the applicant offers financial planning or similar services, etc. Data also

include information on any illegalities by any adviser affiliated with the business; any action taken by the SEC, the Commodity Futures Trading Commission, or any other federal regulatory agency or state regulatory agency in regard to the applicant or an advisory affiliate; whether any foreign government, court, regulatory agency, or exchange has entered an order against the investment adviser, etc., and responses to most of the other questions in both Parts I and II of the SEC Form ADV: Uniform Application for Investment Adviser Registration. The records date from 1957 and include data from initial and updated registrations.

Disposition:

A. Releases from 8/84 through 11/93 (data ranging from 1935 (?) to 11/1993). Destroy when no longer needed for agency use.

B. Release of 12/8/93 (data ranging from 1935 to 12/93). **Permanent.** Transfer immediately to the National Archives.

C. Post-12/93. **Permanent.** Transfer final version to the National Archives, with appropriate documentation, upon termination of the computerized version of the IA Directory.

4. Corporation Index System (CIN), 1979 - ongoing.

These files contain information from companies and corporations required to file annual reports with the Securities and Exchange Commission. Data includes a company status code (whether the company is active, inactive, etc.); the Central Index Key (CIK) used to identify any Commission registrant or issuer; the name and address of the issuer or registrant, including former company name and cross-reference name; the state in which the executive office of the issuer is located; month and fiscal year of the issue; a delinquency code; the [SEC] branch to which the filings are assigned for examination; the code number(s) of the Acts or Sections under which an issuer has made, or is required to make, filings for which the [SEC] Division of Corporation Finance is initially responsible; the file number under which periodic and current reports are currently filed by issuers; the Standard Industrial classification (SIC) code for the company (to locate cases where similar disclosure problems may have been encountered in the examination of filings); the type of company; the start file date; and a filing requirement code to identify the type of periodic reports the registrant is required to file. Data come from thirty-eight separate SEC forms.

Disposition:

A. Releases from 2/82 through 11/93 (data ranging from 12/61 to 11/1993). Destroy when no longer needed for agency use.

B. Release of 12/8/93 (data ranging from 12/61 to 12/93). **Permanent.** Transfer immediately to the National Archives.

C. Post-12/93. **Permanent.** Transfer final version to the National Archives, with appropriate documentation, upon termination of the CIN system.

5. Investment Company Datafile (IVT), 1979 - 1988.

The file contains unique records on investment companies and investment company complexes (e.g., principal underwriters, sponsors, investment advisers, underlying companies) registered with the Securities and Exchange Commission under the Investment Company Act of 1940. Data includes the name of company and related names; address of registrant's principal place of business, SEC 1940 Act number, 1933 Act number, relationship code, class code (organization type), Small Business Investment Company code, SEC region, status code, delinquency code, amount of assets at end of year, date registered, date registrant became inactive, exchange code, exemptions codes, filing date and latest report date. The system was implemented in 1966 and terminated as a separate system in 1988. Some of the data maintained in the IVT are stored in the EDGAR System and will be scheduled as part of it.

Disposition:

A. All versions prior to the final one (released with data through 12/88). Destroy when no longer needed.

B. Final version (12/88). **Permanent.** Transfer immediately to the National Archives.

6. Proposed Sale of Securities (PSS), 1972 - ongoing.

The file contains records of SEC Form 144 (Notice of Proposed Sale of Securities) data, e.g. information on each proposed sale or block trade of securities as filed on Form 144. Information includes security name, name of issuer, seller, and broker-dealer name and file number; number of shares or other units to be sold, aggregate market value, number of shares or other units outstanding; approximate date of sale; stock exchange codes; date the security was acquired, code for nature of the acquisition; number of shares sold in previous six months; code to indicate if the dollar amount of securities sold in last six months and current sale sum in excess of \$10,000, if volume under 501 shares; code to indicate if a filing has been withdrawn; and a code to indicate if no broker-dealer name in record.

Disposition:

A. PSS History File, data for 1/1972 through 4/1985 and

1/1988 through 1/1993, excluding most of 1983 and 5/1985 through 12/1978. Released in the Spring, 1993. **Permanent.** Transfer immediately to the National Archives.

B. PSS File for 1982-84; primarily records for 1983. **Permanent.** Transfer immediately to the National Archives.

C. PSS History File through 1993. **Permanent.** Transfer immediately to the National Archives.

D. PSS, all other releases with data for 1972-1993. Destroy when no longer needed for agency use.

E. PSS, 1994 - ongoing. **Permanent.** Cut off annually. Transfer to the National Archives along with related documentation when one year old. (Records for 1994 transfer at end of 1995, etc.)

*Augustine A. McLough*

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Agency Records Officer

*12/7/94*

Date