NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-266-94-002

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 2/10/2023

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These items, unless subsequently superseded, may be used by the agency to disposition records.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 10 is active

SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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

- N1-266-94-002 Items 001a, 001c are superseded by DAA-0266-2018-0007-0001
- N1-266-94-002 / 1/b is superseded by DAA-0266-2018-0006-0003
- N1-266-94-002 / 1/d is superseded by DAA-0266-2021-0007-0005
- N1-266-94-002 / 3 was withdrawn prior to schedule approval
- N1-266-94-002 / 4 is superseded by DAA-0266-2018-0007-0001
- $N1\mathchar`266\mathchar`94\mathchar`-002\/$ 5 is superseded by DAA-0266-2021-0007-0005
- N1-266-94-002 / 6 Superseded by DAA-0266-2018-0007-0001
- $N1\mathchar`{266-94-002}\xspace/\end tabular}$ is superseded by DAA-0266-2021-0007-0005
- N1-266-94-002 / 8 is Superseded by DAA-0266-2018-0007-0001
- N1-266-94-002 / 9 is superseded by DAA-0266-2018-0007-0001
- $N1\mathchar`-266\mathchar`-94\mathchar`-002\xspace{-0.00}/11$ was withdrawn prior to schedule approval

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE As of 2/10/2023 N1-266-94-002

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WASHINGTON, DC 20408 ; 6 - 2D - 94 1. FROM (Agency or establishment) Securities and Exchange Connission NOTIFICATION TO AGENCY 2. MAJOR SUBDIVISION In accordance with the provisions of 44 U S C. 3303a the disposition request, including amendments, is approved except in the supported or "withdrawn" in column 10. 2. MAJOR SUBDIVISION In accordance with the provisions of 44 U S C. 3303a the disposition request, including amendments, is approved except in the supported or "withdrawn" in column 10. 4. NAME OF PERSON WITH WHOM TO CONFER 5. TELEPHONE DATE for Amechivist of THEUNITED STATES Suzanne L. Mcl'ugh 202 942-8970 24655 6. AGENCY CERTIFICATION DATE for amethy be marked 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, Image: is not required; is attached; or has been requested. DATE SIGNATURE OF AGENCY REPRESENTATIVE TITLE 6/10/94 SUGMATURE OF AGENCY REPRESENTATIVE TITLE 7. 9. GRS OF 10. ACTION	REQUEST FOR RECORDS DISPOSITION AUTHORITY		LEAVE BLANK (NARA use only) JOB NUMBER		
To MATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) DATE INCREMENTS MASHINGTON, DC 2008 -20-94 I. FROM (Agency or stabilishment)	(See Instructions on reverse)		NI-266-94-2		
1. FROM (Agency or stablishmani) NOTFICATION TO AGENCY Securities and Exchange Comission In accodance with the previous of 44 2. MAOR SUBDIVISION Stablishmani) 2. MAOR SUBDIVISION In accodance with the previous of 44 3. MORE SUBDIVISION Stablishmani) 4. NAME OF PERSON WITH WHOM TO CONFER (5. TELEPHONE DATE (ac mechanism agent, and addition additin addition addition addition addition addition addition addition	^{TO} NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		DATE RECEIVED		
2. MAJOR SUBDIVISION Office of Fillings & Information Services 3. MNOR SUBDIVISION 4. NAME OF PERSON WITH WHOM TO CONFER S. TELEPHONE Suzame L. %d/ugh 202 942-8970 3. ANOV 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 attachedpage(3) 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 50 the GAO Manual for Cuidance of Federal Agencies. 5. Is not required: is attachedpage(5) 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 50 the GAO Manual for Cuidance of Federal Agencies. 5. Is not required: is attached; or has been requested. DATE 6/10/34 SUBJON OF ITEM AND PROPOSED DISPOSITION SuperASTRET TAKEN NARA NO. 6. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION SuperASTRET TAKEN NARA NO. This request for disposition of records covers those records which were contingent, changed in disposition authority, or were not covered by the GSC A This certifices that the records described on this form were and will be microfilmed in accordance with the standards set forth in 36 CPP Part 1230. Composition of CEP Part 1230. This count to differ the schedule i the number and key file number assignments has been included. This certifies that the records described on this form were and will be microfilmed in accordance with the standards set forth in 36 CPP Part 1230. The term of the disposition of CEP Part 1230. The term of the disposition of the disposition attories that the records described on this form were and will be microfilmed in accordance with the standards set forth in 36 CPP Part 1230. The term of the disposition	1. FROM (Agency or establishment)				
Children of Filings & Information Services Including and any is made and in the service down in the specified of the service down in the service of the ser	Securities and Exchange Connission 2. MAJOR SUBDIVISION				
Suzame L. McHigh 202 942-8970 X4655 244 ft January 1000 AGENCY CERTIFICATION Ihereby 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 attachedage(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that writen concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies. Image: State of the state of the GAO Manual for Guidance of Federal Agencies. Is not required; Is attached; or Ihas been requested. DATE SIGNATURE OF AGENCY REPRESENTATIVE TITLE 6/10/94 Sugarum C. 'McMugh Records Officer This request for disposition of retention values with the schedule item number and key file number assignments has been included. State of the schedule item number and key file number assignments has been included. This certifies that the records described on this form were and will be microfilmed in accordance with the standards set forth in 36 CTP Part 1230. Standards State of S	Office of Filings & Information Services 3. MINOR SUBDIVISION		including amendments, is approved except for items that may be marked "disposition		
6. AGENOV 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 provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies. Image: Standard accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies. Image: Standard accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies. Image: Standard accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies. Image: Standard accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies. Image: Standard accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies. Image: Standard accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies. Image: Standard accounting of the attached in accords covers those precords which were contingent, changed in disposition authority, or were mot covered by the GRE. A Justification of retention values with the schedule litem number and key file number assignments has been included. This certifies that the records described on this form were and will be microfilmed in accordance with the standards set forth in 36 CPP Part 1230. Image: Comparison of the Manual		202 942-8970		\checkmark	
The proventify that I am authorized to act for this agency in matters pertaining to this agency or will not be needed after the returnion 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.		X4655	2728/93 Jamesu	Joone	
a. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION SUPERSENED TAKEN (NARA USE ONLY) This request for disposition of records covers those records which were contingent, charged in disposition authority, or were not covered by the GRS. A justification of retention values with the schedule item number and key file number assignments has been included. This certifies that the records described on this form were and will be microfilmed in accordance with the standards set forth in 36 CPP Part 1230. . comp. Auto to Auto, NUE 3/1/95Q. . use on zbaco.covers.autors Standards comp. (Section 2000) use on zbaco.covers.autors Standards covers.autors	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, 				
A. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION SUPERSENED TAKEN (NARA USE ONLY) This request for disposition of records covers those records which were contingent, charged in disposition authority, or were not covered by the GRS. A justification of retention values with the schedule item number and key file number assignments has been included. A This certifies that the records described on this form were and will be microfilmed in accordance with the standards set forth in 36 CFP Part 1230. A Compute Auto to Auto to Auto, NUE 3/1/45Q A Use on ztance. Standards covers the standards set forth in 36 CFP Part 1230.					
This request for disposition of records covers those records which were contingent, changed in disposition authority, or were not covered by the GRS. A justification of retention values with the schedule item number and key file number assignments has been included. This certifies that the records described on this form were and will be microfilmed in accordance with the standards set forth in 36 CFP Part 1230.	ITEM 8. DESCRIPTION OF ITEM AND PP	OPOSED DISPOSITION	SUPERSFIDED	TAKEN (NARA	
115-109 NSN 7540-00-634-4064 STANDARD FORM 115 (REV. 3-91)	records which were contingent, changed in disposition authority, or were not covered by the GRS. A justification of retention values with the schedule item number and key file number assignments has been included. This certifies that the records described on this for were and will be microfilmed in accordance with the standards set forth in 36 CPP Part 1230.				
36 CFR 1228					

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ITEM NUMBER

- ------ $_1A$
- DESCRIPTION
- 8-00-1,-2,-2A,-2B,-3,-4,-5 a. Applications for registration as broker, dealer, municipal securities broker, or government securities broker or dealer and related reports (Forms BD, BDW, X-17AL-5, 7-M, 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); 17 CFR 249.501, 501a, 507, 508, 509 and 510) and related correspondence. Maintained in microform and paper. (10 cubic feet/year)
- 1 B 8-00-1,-2,-2A,-2B,-3,-4,-5 b. Confidential Broker Dealer Risk Assessments Reports -Annual and Quarterly. (Forms 17HQCON and 17HACON). Non-public filings. (3 cubic feet/year)
- 2 8-00-9 Uniform application for securities and commodities industry representative and/or agent; certification for associated persons engaged in securities activities outside the jursidication of the United States; annual assessment form for registered brokers and dealers not members of a registered national securities association. (Forms U-4, SECO 2-F, SECO-4,5) (17CFR 240.15b8-1, 15b9-1,2). Maintained in microform. (2 cubic feet/year)
- 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. (2 cubic feet/year)

PERMANENT. Cut off every 5 years. Retain-in house for 15 years; transfer to -FRC_for 10 years, then transfer to-NARA for permanent retention.

50 years. old.

NC1-266-77-2 TEMPORARY. Cut off when Dem 23A a B/D's withdrawal from registration becomes Destroy wh years old effective. (a) <u>Silver</u> Roll Microfiche - Retire immediately to FRC. (b) Diazo Microfiche - Retain in-house for 5 years; transfer to FRC for and destroy * when additional 50 years. of C) Roper registrations not filmed. after registration is withdrawn d) Broker-Deaker Corresp. - RANSFER Temporary. Cut off NCI-266-77-2 Temporary. Cut off Item 23B annually. Retain in-house. Destroy when 6 WHEN BYIARS DAD. Destroy When 50 years old years old. Cut off when NC1-266-77-2 TEMPORARY. a Broker/Dealer's Item 28 withdrawal from registration becomes effective. Retain in house for 10 years; transfer to FRC 505-40 and destroy when

DISPOSITION

NC1-266-82-1 Item 7 * WITHDRAWN

* Per telecon with McHugh 1/9/95 MW 1/18/95

** See 3/24/95 memo Mr. Hinl to WOLFE MIN 3/24/95

NC1-266-77-2

Item 36

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ITEM NUMBER

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4

DESCRIPTION

- 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. (2 cubic feet/year)
- 5 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. Adoption of applications filed by predecessors (17 CFR 240.15Ba2-6). Notices of withdrawal from registration as municipal securities dealers (Forms MSDW) 17 CFR 240.15Bc3-1; 17 CFR 249.1110). (3 cubic feet/year)
- 6 87-00-1, -3 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. (2 cubic feet/year)
- 7 88-00-1, -3 Application for exemption as a securities information processor (17 CFR 240.11AB2-1(c)) and correspondence. Maintained in paper. (3 cubic feet/year)

DISPOSITION

-----TEMPORARY. Cut off when CA is no longer registered with the commission (in 5 year destroy when 50 years old. *

NC1-266-77-2 TEMPORARY. Cut off when MSD is no longer Item 38 registered with the commission (in 5 year blocks). Retain in-house 15 years. Transfer to FRC for 35 years. a destroy when 50 years old.

TEMPORARY. Cut off when NCI-266-82-1 SIP is no longer Item 9 registered with the commission (in 5 year blocks). Retain in-house 10 years. Transfer to FRC for 40 years. destray when 50 years old .

TEMPORARY. Cut off when SIP is no longer registered with the commission (in 5 year blocks). Retain in-house 10 years. Transfer to FRC for 40 years. a destroy when SO years old. *

NC1-266-77-2

Iten 4D

* Fer telecon with McHugh 1/9/95 MW 1/18/95

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ITEM NUMBER

8

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DESCRIPTION

84-00-1, -3, -4
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. Notices of withdrawal for registration as transfer agents (Form TA-W) (17 CFR 240.17Ac3-1).
Maintained in microform and paper. (2 cubic feet/year)

9 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, files numbers were allocated and will be assigned by the following organizations: FDIC 85-1 thru 85-4999; Federal Reserve System 85-5000 thru 85-9999; Comptroller of the Currency 85-10,000 thru 85-19,999) and related correspondence. (2 cubic feet/year)

10 26-00-1 Plans by exchanges authorizing payment of special commission in connection with a distribution of securities on exchanges (Rule 10b-2(d)). Maintained in paper. (2 cubic feet/year)

11 80-00-1 Annual and supplemental reports of Municipal Securities Rulemaking Board (Rule 17a-21). Maintained in paper. (2 cubic feet/year)

DISPOSITION

TEMPORARY. Cut off after NCI-266-82-1 TA is no longer registered with the commission (in 5 year Item 10 blocks). Retain in-house 10 years. Transfer to FRC for 10 years. I distroy when 50 years old.

TEMPORARY. Cut off after NCI-366-77-2TA is no longer registered with the Item 42 blocks). Retain in-house 10 years. Transfer to FRC for-40-years. ad

dertoon when 50 years

TEMPORARY. Cut off after NC+266-79-2 exchange is no longer registered with the Item 32 commission (in 5 year blocks). Retain in-house 15 years. Transfer to FRC for 35 years.

PERMANENT. Cut off annually. Retain in-house for 10 years; transfer to FRC for 10 years, then transfer to NARA for permanent retention.

WITHDRAWN * NC1-266-79-2 Item 34

* Per tele con with McHuph 1/9/95

MW 1/18/75

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P.02

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June 23, 1995

TO:

FROM: Suzame McHugh, Records Officer SEC

Marc Wolfe,

SUBJECT: Job No. N1-266-94-2

Per our discussion today, please add the following disposition to Item 1A:

d. Broker Dealer Correspondence - Temporary. Cut off annually. Retain in-house 3 years; transfer to FRC. Destroy 50 years old.

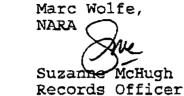
Please call if you have any questions.

TO

MEMORANDUM

March 24, 1995

TO:



FROM:

SUBJECT: Job No. N1-266-94-2

Per our conversation this date, Item 1A of the above schedule should include the records in paper form that predate 1979, which are now stored in the Federal Records Center, Suitland, MD.

Please give me a call if you have any other questions.

Ms. McHugh indicated that The paper seconds should be scheduled for destruction 50 years after the broken-declar's registration is withdrawn. This will be difficult to implement because the records stored at WNRC are mixed between active and inactive dealers Sue will ask her tech people perstatistics on the percentage of par-1979 registrations are withdrawn. If the amount is high enough, she will generate listings by broken name and number ad determine if it is passible to pull back ad segregate mactive records from selected accessions.

A new item was added to the schedule.