

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE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Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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N1-266-94-002 Items 001a, 001c are superseded by DAA-0266-2018-0007-0001

N1-266-94-002 / 1/b is superseded by DAA-0266-2018-0006-0003

N1-266-94-002 / 1/d is superseded by DAA-0266-2021-0007-0005

N1-266-94-002 / 3 was withdrawn prior to schedule approval

N1-266-94-002 / 4 is superseded by DAA-0266-2018-0007-0001

N1-266-94-002 / 5 is superseded by DAA-0266-2021-0007-0005

N1-266-94-002 / 6 Superseded by DAA-0266-2018-0007-0001

N1-266-94-002 / 7 is superseded by DAA-0266-2021-0007-0005

N1-266-94-002 / 8 is Superseded by DAA-0266-2018-0007-0001

N1-266-94-002 / 9 is superseded by DAA-0266-2018-0007-0001

N1-266-94-002 / 11 was withdrawn prior to schedule approval

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>N1-266-94-2</i>	DATE RECEIVED <i>6-20-94</i>
1. FROM (Agency or establishment) <i>Securities and Exchange Commission</i>		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION <i>Office of Filings & Information Services</i>			
3. MINOR SUBDIVISION		DATE <i>for</i> ARCHIVIST OF THE UNITED STATES <i>2/26/95</i> <i>James M. Moore</i>	
4. NAME OF PERSON WITH WHOM TO CONFER <i>Suzanne L. McHugh</i>	5. TELEPHONE <i>202 942-8970 X4655</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, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>6/10/94</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Suzanne L. McHugh</i>	TITLE <i>Records Officer</i>	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<p>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.</p> <p>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.</p>		
<i>Copies sent to agency, NCF 3/1/95</i>			

ITEM NUMBER	DESCRIPTION	DISPOSITION
1A	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)	TEMPORARY. Cut off when a B/D's withdrawal from registration becomes effective. (a) <u>Silver Roll Microfiche</u> - Retire immediately to FRC. (b) <u>Diazo Microfiche</u> - Retain in-house for 5 years; transfer to FRC for and destroy * when additional 50 years old. NCI-266-77-2 Item 23A Destroy when 50+ years old.
1B	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)	c) Paper registrations not filmed. Destroy 50 years after registration is withdrawn. ** d) Broker-Dealer Corresp. OFF ANNUALX. TRANSFER TO FRC. NCI-266-77-2 Item 23B When 3 years old. Destroy when 50 years old.
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 jurisdiction 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)	TEMPORARY. Cut off when a Broker/Dealer's withdrawal from registration becomes effective. Retain in house for 10 years; transfer to FRC for 40 and destroy when 50 years old. NCI-266-77-2 Item 28
3	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 ERC for 10 years, then transfer to-NARA for permanent retention. NCI-266-82-1 Item 7 * WITHDRAWN

*Per telecon with McHugh 1/9/95

mw
1/18/95

** See 3/24/95 memo written to WOLFE re: 3/24/95

ITEM NUMBER	DESCRIPTION	DISPOSITION
4	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)	TEMPORARY. Cut off when CA is no longer registered with the commission (in 5 year blocks). Retain in-house 15 years. Transfer to FRC for 35 years. and <i>destroy when 50 years old.*</i>
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)	TEMPORARY. Cut off when MSD is no longer registered with the commission (in 5 year blocks). Retain in-house 15 years. Transfer to FRC for 35 years. and <i>destroy when 50 years old.*</i>
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)	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. and <i>destroy when 50 years old.*</i>
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)	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. and <i>destroy when 50 years old.*</i>

* Per telecom with McHugh 1/9/95

MW
1/18/95

ITEM NUMBER	DESCRIPTION	DISPOSITION
8	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)	TEMPORARY. Cut off after TA is no longer registered with the commission (in 5 year blocks). Retain in-house 10 years. Transfer to FRC for 40 years. <i>destroy when 50 years old.*</i>
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)	TEMPORARY. Cut off after TA is no longer registered with the commission (in 5 year blocks). Retain in-house 10 years. Transfer to FRC for 40 years. <i>destroy when 50 years old.*</i>
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)	TEMPORARY. Cut off after exchange is no longer registered with the commission (in 5 year blocks). Retain in-house 15 years. Transfer to FRC for 35 years. <i>destroy when 50 years old.*</i>
11	80-00-1 Annual and supplemental reports of Municipal Securities Rulemaking Board (Rule 17a-21). Maintained in paper. (2 cubic feet/year)	PERMANENT. Cut off annually. Retain in-house for 10 years; transfer to FRC for 10 years, then transfer to NARA for permanent retention.

NCI-266-82-1

Item 10

NCI-266-77-2

Item 42

NCI-266-79-2

Item 32

WITHDRAWN*

NCI-266-79-2


Item 34

*Per telecon with McHugh 1/9/95

MW 1/18/95

June 23, 1995

TO: Marc Wolfe,
NARA

FROM:  Suzanne McHugh,
Records Officer
SEC

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.

MEMORANDUM

March 24, 1995

TO: Marc Wolfe,
NARA



FROM: Suzanne McHugh
Records Officer

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 records should be scheduled for destruction 50 years after the broker-dealer's registration is withdrawn. This will be difficult to implement because the records stored at WARC are mixed between active and inactive dealers. She will ask her tech people for statistics on the percentage of pre-1979 registrations are withdrawn. If the amount is high enough, she will generate listings by broker name and number and determine if it is feasible to pull back and segregate inactive records from selected accessions.

A new item was added to the schedule.