

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
Office of Filings and Information Services

3 MINOR SUBDIVISION
Office of Consumer Affairs

4. NAME OF PERSON WITH WHOM TO CONFER | 5 TELEPHONE
Suzanne L. McHugh, Records Officer | 202 942-8970
X-4655

LEAVE BLANK (NARA use only)

JOB NUMBER
NI-266-95-1

DATE RECEIVED
7-20-95

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10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 *for* | ARCHIVIST OF THE UNITED STATES
8/17/95 | *James Moore*

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 1 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
July 13, 1995	<i>Suzanne L. 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 GRS OR SUPERSEDED JOB CITATION	10.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)
	<p>This request for disposition authority is for an exception to the General Records Schedule (GRS) 14, Item 5.</p> <p>The Office of Consumer Affairs is responsible for the Commission's consumer protection program. This includes implementation of a nationwide system for resolution of investor disputes; improving and upgrading the Commission's complaint processing effort; and together with the Office of General Counsel and Division of Enforcement recommend cases in which the Commission might seek to appear as amicus curiae.</p> <p>For these reasons and due to the potential investigatory nature of this information, an exception to GRS 14, Item 5 is requested. See attached on following page as recommended disposition authority.</p> <p><i>Copies sent to agency, NCF, GRS 8/31/95</i></p>		

1. Complaint Correspondence Files

Anonymous letters, letters of complaint, criticism and replies thereto. Arranged by Agency Correspondence Tracking System Log Number.

Annual accumulation: 10 cubic feet

a. Information not significant to transfer to Office of General Counsel and/or Division of Enforcement.

Disposition: TEMPORARY. Cut off annually. Retain in house 2 years. Transfer to FRC 2 years. Destroy when 4 years old.

b. Significant information will be transferred to Office of General Counsel and/or Division of Enforcement for incorporation into preliminary or case file(s).

Disposition: TEMPORARY. Cut off annually. Copies will be retained in OCA for 2 years. Transfer to FRC for 4 years. Destroy when 6 years old.