

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-266-98-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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

N1-266-98-001, Item 001 is obsolete because the records are no longer produced

N1-266-98-001, Item 005 is obsolete because the records are no longer produced

N1-266-98-001, Item 006 is obsolete because the records are no longer produced

N1-266-98-001, Item 007 is superseded by DAA-0266-2014-0001-0001 and 0002

N1-266-98-001, Item 008 is superseded by N1-266-02-001, Item 001

| | | | |
|---|--------------------------------------|---|--------------------------------|
| REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse) | | LEAVE BLANK (NARA use only) | |
| TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408 | | JOB NUMBER | NI-266-98-1 |
| 1 FROM (Agency or establishment) Securities and Exchange Commission | | DATE RECEIVED | 7-7-98 |
| 2 MAJOR SUBDIVISION | | NOTIFICATION TO AGENCY | |
| 3 MINOR SUBDIVISION | | 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10 | |
| 4 NAME OF PERSON WITH WHOM TO CONFER | 5 TELEPHONE | DATE | ARCHIVIST OF THE UNITED STATES |
| Suzanne L. McHugh | 202 942- 8970 7850 x 7811 | 2-22-99 | <i>John W. Paul</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,

is not required, is attached, or has been requested.

| | | |
|---------|------------------------------------|-----------------|
| DATE | SIGNATURE OF AGENCY REPRESENTATIVE | TITLE |
| 3/25/98 | <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) |
|-----------------|---|--|---------------------------------------|
| | See attached listing for items and proposed disposition | | |

1. Office of International Affairs Swiss Treaty Negotiation Files

Files contain memoranda concerning the negotiation of the Mutual Legal Assistance Treaty with Switzerland. These records duplicate permanent Department of State Treaty Files. There are approximately 4 cubic feet of records.

Disposition: Temporary. Destroy immediately.

2. Office of International Affairs Director's Correspondence Files

Correspondence files of the Director of the Office of International Affairs. They are arranged chronologically by month and year. The records consist of communications between the Director and the public on matters of a routine nature and requests made by the Director to foreign governments for information.

a. Official file

Disposition: Temporary. Cut off annually at the end of the calendar year. Retire to the Federal Records Center 2 years after cut off. Destroy 7 years after cut off

b. Electronic version of records created by the electronic mail and word processing applications.

Disposition: Delete when file copy is generated or when no longer needed for reference or updating.

3. Office of International Affairs Office Correspondence Files

General office correspondence files arranged in chronological order. Records consist of routine public requests for general information available through the SEC.

a. Official file.

Disposition: Temporary. Cut off at the end of the calendar year. Retire to the Federal Records Center 2 years after cut off. Destroy 7 years after cut off.

b. Electronic version of records created by the electronic mail and word processing applications.

Disposition: Delete when file copy is generated or when no longer needed for reference or updating.

4. Office of International Affairs Technical Assistance Files

Files contain requests for technical assistance (TA), draft and final agreements with US AID on TA projects, SEC TA communications, project plans and reports.

Disposition: Temporary. Cut off annually at the end of the calendar year. Retire to the Federal Records Center 2 years after cut off. Destroy 7 years after the cut off
SUPERSEDES: Job Number 266-96-1-1

5. Public Utility Holding Company Act of 1935 - Public Utility Holding Companies SEC File No. 73-00-1, -3.

Notification of foreign utility company status (Form U-57) and annual report concerning foreign utility companies (Form U-33-S) subject to Rule 43 and 44 and related correspondence. Forms are filed electronically via EDGAR unless confidential treatment is sought (*Paper copies/ working copies of electronically filed records*)

Disposition: Temporary Destroy when 10 years old

6. Public Utility Holding Company Act of 1935 - Public Utility Holding Companies SEC File No. 74-00-1,-3

Quarterly report concerning energy and gas-related companies pursuant to rule 58 of the Public Utility Holding Act (Form U-9C-3). Forms are filed electronically via EDGAR unless confidential treatment is sought (*Paper copies/ working copies of electronically filed records*)

Disposition: Temporary. Destroy when 10 years old.

7 Confidential Treatment Materials

Registration statements, periodic reports and other materials containing contracts, patents, commercial and financial information, disclosure of which would impair the value thereof, submitted under confidential cover (17 CFR 230.485, 17 CFR 240.24b-2) (*Maintained in paper*).

Disposition: Temporary. Cut off semi-annually. Transfer to the Federal Records Center 2 years after the cut off date. Destroy 20 years after the cut off
SUPERSEDES: Job Number 266-77-2-89

8. Office of Investor Education & Assistance

Complaint/Inquiry Correspondence Files. Arranged by Agency Correspondence Tracking System Log Number.

Disposition: Temporary. Cut off semi-annually. Transfer to Federal Records Center 2

years after cut off. Destroy 4 years after the cut off.
SUPERSEDES: Job Number 266-95-1