

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		<b>LEAVE BLANK (NARA use only)</b>	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER NI-266-98-1	DATE RECEIVED 7-7-98
1 FROM (Agency or establishment) Securities and Exchange Commission		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Suzanne L. McHugh	5 TELEPHONE 202 942- <del>8970</del> 7850 x 7811	DATE 2-22-99	ARCHIVIST OF THE UNITED STATES <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 3/25/98	SIGNATURE OF AGENCY REPRESENTATIVE <i>Suzanne L. McHugh</i>	TITLE Records Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)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