

Rec'd NCD 20 Jun 79 NY

REQUEST FOR RECORDS DISPOSAL AUTHORITY  
(See Instructions on reverse)

TO GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1 FROM (AGENCY OR ESTABLISHMENT)  
Securities and Exchange Commission

2 MAJOR SUBDIVISION  
Office of Reports and Information Services

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER  
Charles A. Moore

5. TEL EXT  
523-5550

LEAVE BLANK
JOB NO
DATE RECEIVED <u>22 JUN 1979</u>
NOTIFICATION TO AGENCY
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10
<u>9-5-79</u> <u>James S. O'Neil</u> Date <u>acting</u> Archivist of the United States

6 CERTIFICATE OF AGENCY REPRESENTATIVE  
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 18 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

- A Request for immediate disposal.
- B Request for disposal after a specified period of time or request for permanent retention.

C DATE <u>6/18/79</u>	D SIGNATURE OF AGENCY REPRESENTATIVE <u>Charles A Moore</u>	E TITLE Charles A. Moore Records Officer
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7 ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p>The Securities and Exchange Commission was created under authority of the Securities Exchange Act of 1934 (48 Stat. 881; 15 U.S.C. 78a to 78jj), and was organized on July 2, 1934. The general objective of the statutes administered by the Securities and Exchange Commission is to provide the fullest possible disclosure to the investing public, and protect the interests of the public and investors against malpractice in the securities and financial markets.</p> <p>This represents Phase II of the Commission's proposal to maintain its official records on microfiche. Phase I dated April 27, 1977, was approved by the National Archives on January 22, 1979 (NCl 266 77 1). The records listed below will cease to have sufficient value to warrant retention in their original form and will be destroyed after film inspection.</p> <p>The records to be microfilmed will be stored on unit microfiche. The estimated rate of accumulation for all unit microfiche is 15,000 linear inches annually.</p>		<u>80 items</u>

sent to Agency, NNE  
MS  
9-7-79

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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>a. Hardcopy</p> <p>Disposition: Destroy hardcopy after microfilm has been verified for completeness and accuracy.</p> <p>b. Microfilm</p> <p>Disposition: Microfilm daily. Unless otherwise indicated, the retention schedule is the same as indicated in NCI 266 77 2.</p> <p>This certifies that (1) the records described on this form will be microfilmed in accordance with the standards set forth in FPMR 101-11.506, (2) the silver original microfiche will be stored in facilities meeting the standards set forth in FPMR 101-11.507 and 101-11.508, and (3) the silver original microfiche will be inspected on September 1, 1979 and every two years thereafter in accordance with FPMR 101-11.507-2.</p> <p style="text-align: center;"><u>Securities Act of 1933</u></p> <p>1. SEC File No. 9-00-1</p> <p>Notices of proposed resale of restricted securities and resale of securities by control persons (Forms 144).</p> <p>2. SEC File No. 18-00-1</p> <p>Applications for exemption from Section 5 registration for interests or participations issued in connection with Keogh Plans (Section 3(a)(2)).</p> <p>Destroy 10 years after issuer no longer is selling securities under exemption from registration.</p>	6	

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3.	<p>SEC File No. 20-00-1</p> <p>Offering sheets and amendments thereto for oil or gas royalties (Regulation B) (Schedules A. B. C. D) (Section 3(b))</p> <p>Notice of termination of effectiveness of offering sheet (if sales have been made) (Rule 346)</p> <p>Requests for withdrawal of offering sheets (Rule 344)</p> <p>Reports of sale (accorded confidential treatment). (Forms 1-G)</p> <p>Reports after termination of offering (Forms 3-G)</p>	3	
4.	<p>SEC File No. 24-00-1</p> <p>Notices of exemption from registration (Regulation A) (Forms 1-A)</p> <p>Offering circulars or statements, submitted with notifications (Schedule I - Forms 1-A)</p> <p>Revised offering circulars and amendments (Rules 256(e), (f) and 255(d))</p> <p>Sales material (Rule 258)</p> <p>Authorization to permit use of financial statements more than 90 days but less than 6 months prior to date of filing (Schedule I - Item 11)</p> <p>Authorization of acceleration of 10-day waiting period - (1) notifications, (2) amendments (Rules 255(a) and (d))</p> <p>Authorization of acceleration of 5-day waiting period - sales material (Rule 258)</p> <p>Reports of sales and use of proceeds (Forms 2-A)</p> <p>Notices of withdrawal (Rule 255(e))</p> <p>Notice of issuer of delay or suspension in offering or suspension in offering and sales of securities (Rule 263)</p>	2	

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	<p>Consent by non-resident to service of process (Rule 262)</p> <p>Irrevocable appointment by individual of agent for service of process, pleadings, and other papers (Forms 3-A)</p> <p>Irrevocable appointment by corporation of agent for service of process, pleadings, and other papers (Forms 4-A)</p> <p>Certificate of resolution authorizing irrevocable appointment by corporation of agent for service of process, pleadings, and other papers (Forms 5-A)</p> <p>Irrevocable appointment by partnership of agent for service of process, pleadings, and other papers (Forms 6-A)</p>		
5.	SEC File No. 90-00-1	14	
	Notices of sales of securities by closely-held issuers (issuers with 100 or less beneficial owners) other than investment companies, registered or required to be registered under the Investment Company Act of 1940 (Forms 240)		
6.	SEC File No. 92-00-1	9	
	Applications for relief from disability under Regulation F (Rule 651(c))		
7.	SEC File No. 94-00-1	11	
	Notifications of exemption for assessment or assessable stock (Regulation F - Forms 1-F)		
	Sales material (Rule 654)		
	Authorizations of acceleration of 10-day waiting period - (1) notifications, (2) sales material (Rules 652 and 654)		

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8.	<p>SEC File No. 95-00-1</p> <p>Notifications of exemption for securities issued by Small Business Investment Companies (Regulation E) (Forms 1-E)</p> <p>Offering circulars or statements, submitted with notifications (Rule 665(e))</p> <p>Revised offering circulars and amendments (Rules 605(d), (e) and 604(c))</p> <p>Sales material (Rule 607)</p> <p>Authorizations of acceleration of 10-day waiting period - (1) notifications, (2) sales material (Rules 604 and 605)</p> <p>Authorizations of acceleration of 5-day waiting period - sales material (Rule 607)</p> <p>Notices of withdrawal (Rule 504(d))</p> <p>Reports of sales (each six months period; final report upon completion or termination of offering) (Forms 2-E)</p>	10	
9.	<p>SEC File No. 96-00-1</p> <p>Applications for relief from disability under Regulation A (Rule 252(f))</p> <p>Letters granting or denying relief.</p>	12	
10.	<p>SEC File No. 98-00-1</p> <p>Notices of proposed sales by non-controlling persons of restricted securities of issuers which do not satisfy all of the conditions of Rule 144 (Forms 237)</p>	7	

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11.	SEC File No. 100-00-1  Notifications of exemption of shares of stock or similar securities offered to provide funds to be distributed to shareholders in lieu of using fractional shares, script certificates or order forms, in connection with a stock dividend, stock split, reverse stock split, conversion, merger or similar transaction (Rule 236)  <u>Securities Exchange Act of 1934</u>	8	
12.	SEC File No. 5-00-1  Acquisitions, tender offers and solicitations (Schedules 13D, 14D-1, 13G) (Rules 13d-1 and 14d-1)  Change in majority of directors (Schedule 14A) (Rule 14f-1)	22	
13.	SEC File No. 6-1  Initial statement of beneficial ownership of securities (Forms 3)  Statement of changes in beneficial ownership of securities (Forms 4)  Designation by issuers of exchange with which reports pursuant to Section 16(a) are to be filed, if securities listed on more than one national securities exchange (Rule 16a-1(c))	21	
14.	SEC File No. 7-00-1  Notifications by exchanges re admission to trading a new or additional securities under Rule 12a-5 (Forms 26)  Applications for permission to extend unlisted trading privileges (Rule 12f-1)  Notifications of changes in securities admitted to unlisted trading privileges (Forms 27)  Applications for termination or suspension of unlisted trading privileges (Rule 12f-3(a))  Notifications by exchanges of the termination or suspension of unlisted trading privileges (Forms 28)	34	

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15.	<p>SEC File No. 8-00-1</p> <p>Applications for registration of a broker or dealer (Forms BD) (Rule 15b1-1)</p> <p>Applications for registration of a successor to a registered broker or dealer (Forms BD) (Rule 15b1-3)</p> <p>Registrations of fiduciaries continuing in the business of a registered broker or dealer (Forms BD) (Rule 15b1-4)</p> <p>Applications for registration of municipal securities brokers or dealers as separately identifiable divisions or departments (Forms BD) (Rule 15b2B-1)</p> <p>Adoption of applications filed by predecessor of broker or dealer (Forms BD) (Rule 15d2-1)</p> <p>Statements of financial condition submitted with applications for registration (Rule 15b1-2)</p> <p>Amendments to applications (Rule 12b3-1)</p> <p>Irrevocable appointment of agent for service of process, pleadings, and other papers by</p> <p style="padding-left: 40px;">Individual non-resident brokers or dealers (Forms 7-M)</p> <p style="padding-left: 40px;">Corporation non-resident brokers or dealers (Forms 8-M)</p> <p style="padding-left: 40px;">Partnership non-resident brokers or dealers (Forms 9-M)</p> <p style="padding-left: 40px;">Non-resident general partners of brokers or dealers (Forms 10-M)</p> <p>Subordination agreements (Rule 15c3-1)</p> <p>Notices of withdrawal from registration as broker-dealer (Forms BDW)</p> <p>Notices by non-resident brokers or dealers specifying address of place in United States where copies of books and records are located, or (Rule 17a-17(a)(2))</p>	23	

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16.	<p>Undertakings by non-resident brokers or dealers to furnish to Commission, upon demand, copies of any books or records he is required to maintain (Rule 17a-17(b)(1))</p> <p>SEC File No. 8-00-2</p> <p>Annual audit report (fiscal or calendar year basis) (Forms X-17A-5) (PUBLIC)</p> <p>Reports of financial condition (periodic) (Rule 17a-5)</p> <p>Applications for extension of time to file reports of financial condition (Rule 17a-5(1))</p> <p>Annual unaudited report of financial condition furnished to customers (Rule 17a-5(c)(3))</p> <p>Annual audited statements of financial condition furnished to customers (Rule 17a-5(c)(2))</p> <p>Report upon termination of membership in a national securities exchange (Forms X-17A-5 - Part II) (Rule 17a-5(b))</p>	23	
17.	<p>SEC File No. 8-00-2A</p> <p>Annual audit report (fiscal or calendar year basis) (Forms X-17A-5) (NON-PUBLIC)</p> <p>Supplemental report detailing Securities Investor Protection Corporation assessment payment or overpayments (Rule 17a-5) (NON-PUBLIC)</p> <p style="text-align: center;">Destroy when broker-dealer no longer registered with Commission.</p>	23	
18.	<p>SEC File No. 8-00-2A9</p> <p>Reports of market makers and other registered brokers and dealers in securities traded on national securities exchanges (Forms X-17A-9) (PUBLIC)</p> <p style="text-align: center;">Destroy when 6 years old.</p>		



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19.	SEC File No. 8-00-2A9 (NON-PUBLIC)  Reports by registered brokers and dealers who are OTC Market Makers in any O-T-C Margin Securities (Forms X-17A-12(2))  Destroy when 6 years old.		
20.	SEC File No. 8-00-2A12 (PUBLIC)  Reports by registered brokers and dealers who are OTC Market Makers in any O-T-C Margin Securities (Forms X-17A-12(1))	25	
21.	SEC File No. 8-00-2A16 (PUBLIC)  Notifications filed by Qualified Market Makers at last five business days before such broker-dealers obtain third market maker exempt credit pursuant to Regulation U (Forms X-17A-16(1))	26	
22.	SEC File No. 8-00-2A16 (NON-PUBLIC)  Quarterly reports filed by brokers and dealers, who during a calendar quarter, is or has been qualified a third market maker (Forms X-17A-16(2))	26	
23.	SEC File No. 8-00-2A-17 (NON-PUBLIC)  Quarterly reports filed by every broker-dealer block positioner who has filed a notice pursuant to paragraph (a) of Rule 17a-17 (Forms X-17A-17)	27	
24.	SEC File No. 8-00-2A-19 (PUBLIC)  Reports of changes in membership of any of its members required of national securities exchanges and registered national securities associations (Forms X-17A-19)  Destroy when 6 years old.		
25.	SEC File No. 8-00-9  Uniform applications for securities and commodities industry representatives and/or agents (Forms U-4)	28	

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	<p>Certifications for associated persons engaged in securities activities outside the jurisdiction of the United States (Forms SECO-2F)</p> <p>Annual assessment forms for registered brokers and dealers not members of a registered national securities association (Forms SECO-4)</p> <p>Initial assessment forms for registered brokers and dealers not members of a registered national securities association (Forms SECO-5)</p>		
26.	<p>SEC File No. 10-00-1</p> <p>Applications by exchanges for registration as national securities exchanges (Forms 1)</p> <p>Applications by exchanges for exemption from registration as national securities exchanges (Forms 1)</p> <p>Amendments to exchange applications (Forms 1-A) (Rule 6a-1)</p> <p>Record disposal plans of national securities exchanges (Rule 17a-6)</p>	29	
27.	<p>SEC File No. 10-00-2</p> <p>Annual amendments (Forms 1-A) (Rule 6a-2)</p> <p>Supplementary materials (Rule 6a-3)</p>	29	
28.	<p>SEC File No. 16-00-1</p> <p>Applications for registration as national securities associations or affiliated securities associations (Forms X-15AA-1)</p> <p>Amendments to applications for registration as national securities associations or affiliated securities associations (Forms X-17AJ-1)</p>	30	
29.	<p>SEC File No. 16-00-2</p> <p>Annual supplements (Forms X-15AJ-2)</p>	30	

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30.	SEC File No. 17-00-1  Reports of stabilizing activities pertaining to a fixed price offering or securities registered or to be registered under the Securities Act of 1933, or offered or to be offered pursuant to an exemption under Regulation A, or being or to be otherwise offered if aggregate offering price exceeds \$1,500,000 (Forms X-17A-1)	35	
31.	SEC File No. 23-00-1  Applications for exemption pursuant to paragraph (h) of Rule 17a-15  Destroy when broker-dealer no longer registered with Commission..		
32.	SEC File No. 26-00-1  Plans by exchanges authorizing payment of special commission in connection with a distribution of securities on exchanges (Rule 10b-2(d))  Destroy when exchange no longer registered with Commission.		
33.	SEC File No. 28-00-1  Quarterly reports by institutional investment managers (Forms 13F)  Destroy when 10 years old.		
34.	SEC File No. 80-00-1  Annual and supplemental reports of Municipal Securities Rulemaking Board (Rule 17a-21) INDEFINITE. The SEC will reevaluate these records <del>PERMANENT</del> , within two years for purposes of establishing an appropriate retention period.*		
35.	SEC File No. 81-00-1  Exemptions from Section 12(b), 13, 14, 15(d) or 16 (Rule 12h-2)  Destroy 10 years after securities no longer are being sold under an exemption for registration.		

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36.	SEC File No. 82-00-1  Exemptions for American Depositary Receipts and certain foreign securities (Rule 12g3-2)	16	
37.	SEC File No. 83-1  Periodic reports filed by Inter-American Development Bank (Regulation IA)	20	
38.	SEC File No. 83-2  Periodic reports filed by Asian Development Bank (Regulation AD)	19	
39.	SEC File No. 84-00-1  Applications for registration as transfer agents (non-bank) and amendments thereto (Forms TA-1)  Notices of withdrawal for registration as transfer agents (Forms TA-W)	41	
40.	SEC File No. 85-00-1  Applications for registration as transfer agents (bank) and amendments thereto (Forms TA-1)	42	
41.	SEC File No. 86-00-1  Applications for registration as municipal securities dealers which are banks or separately identifiable departments or divisions of banks (Forms MSD)  Adoption of applications filed by predecessors (Rule 15Ba2-6)  Notices of withdrawal from registration as municipal securities dealers (Forms MSDW)	38	
42.	SEC File No. 87-00-1  Applications for registration as securities information processors and amendments thereto (Forms SIP)	39	
43.	SEC File No. 88-00-1  Applications for exemption as securities information processors (Rule 11Ab2-1)	40	

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44.	SEC File No. 500-1  Orders suspending trading of securities otherwise than on a national securities exchange (Section 15(c)(5))  Destroy 10 years from date of such action(s).		
45.	SEC File No. 600-00-1  Applications for registration as (non-bank) clearing agencies and amendments thereto (Forms CA-1)  Applications for exemption from registration as (non-bank) clearing agencies (Forms CA-1)  <u>Public Utility Holding Company Act of 1935</u>	36    37	
46.	SEC File No. 6-  Reports of beneficial ownership of securities (Forms 3 and 4)	55	
47.	SEC File No. 12-1  Statement pursuant to Section 12(i) by persons employed or retained by a registered holding company or subsidiary thereof (Forms U-12(I)-A)	52	
48.	SEC File No. 30-00-1  Notification of registration (Forms U5A)  Registration statements by public utility holding companies providing financial and other information concerning the issue and sale of securities (Forms U5B)  Applications for orders declaring registrants have ceased to be holding companies (Section 5(d))	43	
49.	SEC File No. 30-00-2  Annual supplements (Forms U5S)	43	
50.	SEC File No. 31-00-1  Statements of exemption from the act by order (Rule 20)	62	

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51.	SEC File No. 32-00-1  Exemption of purchaser, assignee, etc. of leased facilities (Forms U7D)	57	
52.	SEC File No. 33-00-1  Annual statements by banks holding public utility securities but claiming exemption under Rule 2 (Forms U3A3-1)	61	
53.	SEC File No. 37-00-1  Applications and declarations for authorization of service companies (Forms U-13-1)	50	
54.	SEC File No. 38-00-1  Statements under Rule 70(a)(1) executed by financial institutions authorizing representatives to serve as officer/director of holding companies, filed by representatives (Rule 70(a)(1))	53	
55.	SEC File No. 40-00-1  Certificates of notification by registered holding companies and subsidiaries, of security issues exempted from Section 6(a) by Section 6(b) or exempt under Rule 47(b) and not the subject of an order of the Commission (Forms U-6B-2)	51	
56.	SEC File No. 49-00-1  Annual report by mutual and subsidiary service companies (Forms U-13-60)	59	
57.	SEC File No. 50-00-1  Orders granting or withdrawing exemptions from rules	45	
58.	SEC File No. 52-00-1  Applications for approval of reorganization under Section 11(f)	46	
59.	SEC File No. 54-00-1  Divestment of securities, assets or control (Sections 11(d) & (e))	47	

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60.	SEC File No. 55-00-1  Applications for approval of fees incurred in connection with plan under Section 11(f)	48	
61.	SEC File No. 59-00-1  Simplification of corporate structure (Sections 11(b)(1) and (2); Section 11(e))	49	
62.	SEC File No. 62-00-1  Reports by affiliate service companies or those engaged principally in the performance of services (Forms U-13F-1)	54	
63.	SEC File No. 68-00-1  Declarations with respect to solicitations regarding reorganization of registered holding companies or subsidiaries subject to Rule 62 (Forms U-R-1)	56	
64.	SEC File No. 69-00-1  Annual statements by holding companies claiming exemption pursuant to Rule 2 (intrastate or predominantly operating companies) (Forms U-3A-2)	60	
65.	SEC File No. 70-00-1  Applications/declarations pursuant to Sections 6(b), 7, 9, 9(c)(3), 10, 12(b), 12(c), 12(d), 12(f) and applicable rules thereunder (Forms U-1)	44	
66.	SEC File No. 72-00-1  Reports of communication with stockholders (Sections 14 and 15)  <u>Trust Indenture Act of 1939</u>	58	
67.	SEC File No. 22-00-1  Statements of eligibility and qualification of corporations or individuals as trustees under qualified indenture under which debt securities have been or will be issued and exemptions thereunder (Forms T-1, 2, 3, 4)	63	

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68.	<p>SEC File No. 25-00-1</p> <p>Applications relative to affiliations between trustees and underwriters (Rule 10b-3)</p> <p style="text-align: center;">Destroy when applicable indenture is terminated or cancelled.</p>		
69.	<p>SEC File No. 93-00-1</p> <p>Reports of indenture trustees to indenture security holders with respect to eligibility and qualification under Section 310.</p> <p style="text-align: center;"><u>Investment Advisers Act of 1940</u></p>	64	
70.	<p>SEC File No. 801-00-1</p> <p>Applications for registration as investment advisers or to amend or supplement such applications (Forms ADV)</p> <p>Annual report (Forms ADV-S)</p> <p>Notices of withdrawal from registration as investment advisers (Forms ADV-W)</p> <p>Notices by registrants before discontinuing business, of address where books and records will be maintained for remainder of required period (Rule 204-2(f))</p> <p>Notices by non-resident investment advisers specifying address of place in U. S. where copies of books and records are located, or (Rule 204-(j)(2))</p> <p>Undertakings by non-resident investment advisers to furnish to Commission, upon demand, copies of any books or records required to be maintained (Rule 204-2(j)(3))</p> <p>Certificate of examination by independent accountants (Rule 2-6(4)-2(j)(3))</p> <p>Irrevocable appointment of agent for service of process, pleadings, and other papers by</p> <p style="padding-left: 40px;">Individual non-resident investment adviser (Forms 4-R)</p> <p style="padding-left: 40px;">Corporation non-resident investment advisers (Forms 5-R)</p>	74	



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72.	<p>SEC File No. 6-</p> <p>Reports of beneficial ownership of securities (Section 30(f)) (Forms 3 &amp; 4)</p>	73	
73.	<p>SEC File No. 812-00-1</p> <p>Applications for exemption and other relief (Sections 2(a)(9), 3(b)(2), 6(c), (d), 9(b), 10(e), (f), 11(a), (c), and others)</p>	67	
74.	<p>SEC File No. 813-00-1</p> <p>Applications for exemption of an employee's security company (Section 6(b))</p> <p>Destroy 10 years after registrant no longer has reporting requirement.</p>		
75.	<p>SEC File No. 816-00-1</p> <p>Requests for advisory reports of the Commission relating to the reorganization of registered investment companies (Section 25(b))</p>	69	
76.	<p>SEC File No. 817-00-1</p> <p>Reports of repurchase of securities by closed-end investment companies (Forms N-23C-1)</p> <p>Notices of proposed redemption of outstanding securities of closed-end investment companies (Section 23(c))</p>	70	

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77.	SEC File No. 818-00-1  Sales literature regarding securities of certain investment companies (Section 24(b))	71	
78.	SEC File No. 819-00-1  Statements of the Federal Savings and Loan Corporation relating to the exemption of certain issuers (Section 6(a)(4))	72	
79.	SEC File No. 820-00-1  Reports showing that companies have complied with requirements of the rule in purchasing new issues of securities from underwriters (Section 10(f))  Destroy when 6 years old.		
80.	SEC File No. 821-00-1  Reports by registered small business investment companies and affiliated banks, with respect to investments (Forms N-17F-1)  Destroy 10 years from date of such action(s).  Reports submitted semi-annually covering certain transactions with affiliates (Section 17(a))  Destroy 10 years from date of such action(s).		