

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

*base*

LEAVE BLANK	
JOB NO <b>NCI-266-83-4</b>	
DATE RECEIVED <b>11-5-82</b>	
NOTIFICATION TO AGENCY <small>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the disposal request, including amendments is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10</small>	
Date <b>12-8-82</b>	Archivist of the United States <i>[Signature]</i>

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 Applications and Reports Services**

3 MINOR SUBDIVISION

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

5 TEL EXT  
**272-7216**

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 2 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 <b>11/1/82</b>	D SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature]</i>	E TITLE <b>Charles A. Moore Records Officer</b>
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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
1.	<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>The files listed are not covered by any existing disposition schedules.</p> <p>SEC File No. 15-00-1, -3</p> <p>Notice of sale of securities pursuant to Rule 242 (Form 242) - Securities Act of 1933 [17 CFR 230.242; 17 CFR 239.242]</p> <p align="center">Destroy when 6 years old.</p>		7 items

*Mass Data Change Sheet Not Required*  
*Closed out: 12-14-82:cm*  
*Copies to NCW, Agency & NMF*

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF 2 of 2
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
2.	<p>SEC File No. 18-00-1, -3</p> <p>Application for exemption from Section <sup>5</sup> registration (Securities Act of 1933) for interests or participations issued in connection with Keogh Plans (Section 3(a)(2))</p> <p>Destroy when 10 years old.</p>		
3.	<p>SEC File No. 19-00-1, -3</p> <p>Notice of sale of securities pursuant to Section 4(6) of the Securities Act of 1933 (Form 4(6)). [17 CFR 239.246]</p> <p>Destroy when 6 years old.</p>		
4.	<p><i>CAM</i> <i>11/30/82</i> <i>11/30/82</i></p> <p>SEC File No. 21-00-1, -3</p> <p>Notice of sale for offerings under Regulation D and Section 4(6) (Form D) - Securities Act of 1933. [17 CFR 230.501; 17 CFR 239.500]</p> <p>Destroy when 6 years old.</p>		
5.	<p>SEC File No. 27-00-1, -3</p> <p>Applications for exemption from Section 13(f) - Securities Exchange Act of 1934. [17 CFR 240.13f-1]</p> <p>Destroy when 10 years old.</p>		
6.	<p>SEC File No. 28-00-1, -3</p> <p>Reports by institutional investment managers of information with respect to accounts over which they exercise discretion. (Form 13F) [17 CFR 240.13f-1; 17 CFR 249.325] - Securities Exchange Act of 1934</p> <p>Destroy when 4 years old.</p>		
7.	<p>SEC File No. 29-00-1, -3</p> <p>Report of issuers of sale of securities deemed not to involve any public offering (Form 146) - Securities Act of 1933 [17 CFR 230.146; 17 CFR 239.146]</p> <p>Destroy when 6 years old.</p>		