

**REQUEST FOR RECORDS DISPOSITION 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  
**Division of Enforcement**

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER  
**Ann C. Sykes**

5 TEL EXT  
**272-7244**

LEAVE BLANK	
JOB NO	<b>NCI-266-84-1</b>
DATE RECEIVED	<b>10-3-83</b>
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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10	
<b>10-31-83</b> <small>Date</small>	<i>Robert H. Moore</i> <small>Archivist of the United States</small>

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>10/31/83</b>	D SIGNATURE OF AGENCY REPRESENTATIVE <i>Charles A. Moore</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 Commission's enforcement activities are designed to secure compliance with the Federal securities laws administered by the Commission and the rules and regulations adopted thereunder. These activities include measures to compel obedience to the disclosure requirements of the registration and other provisions of the acts, to prevent fraud and deception in the purchase and sale of securities, to obtain court orders enjoining acts and practices which operate as a fraud upon investors or otherwise violate the laws.</p> <p><b>STENOGRAPHIC NOTES (Investigative Case Files)</b></p> <p align="center">Destroy when 10 years old.</p>		<i>1 item</i>

*Mass Data Change Sheet Not Required  
Agency, NEW, + NNFG sent 11-16-83 by DMW.*

STENOGRAPHIC NOTES (Investigative Case Files)

Currently stored in Washington National Records Center

Accession No.	266-77-5
	266-78-2
	266-79-7
	266-81-50
	266-83-14