**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  
Office of Applications & Reports Services

3 MINOR SUBDIVISION  

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

5 TELEPHONE 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 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A GAO concurrence □ is attached, or □ is unnecessary

B DATE  
6/29/84

C SIGNATURE OF AGENCY REPRESENTATIVE  
Charles A. Moore

D TITLE  
Records Officer

<table>
<thead>
<tr>
<th>ITEM NO</th>
<th>ITEM DESCRIPTION</th>
<th>SUPERSEDED ITEM</th>
<th>JOB NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Application for registration as investment adviser and related correspondence.</td>
<td></td>
<td>NCI-266-82-1, item 11</td>
</tr>
<tr>
<td></td>
<td>A. Forms ADV, ADV-S, ADV-W, 5-R, 6-R, 7-R</td>
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<td></td>
<td>(17 CFR 275.203-1, 275.203-2, 275.204-1; 17 CFR 279.1 through 279.7)</td>
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<td>Cut-off after investment adviser no longer registered. Destroy six years after cut-off.</td>
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<td>B. Correspondence that contains substantial information about applications for registration as investment adviser.</td>
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<td>Cut-off at the end of calendar year. Transfer to FRC when three years old. Destroy when ten years old.</td>
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</tbody>
</table>

Agency sent 7-18-84 by DMw.
NCW sent 7-17-84 by DMw.

STANDARD FORM 115 (REV 8-83)  
Purchased by GSA  
FPMR (41 CFR) 101-11 4