

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-053-87-002

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 8/1/2019

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

Item 2 Treasury Direct Case File Records
Item 3 Treasury Direct Supporting Form Records
Item 8 Treasury Direct Security Officer's Reports
Item 9 Treasury Direct Statistical Records
Item 12 Treasury Direct Active and Inactive Masterfile

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Item 1 superseded by N1-053-06-005 / 66
Item 4 superseded by N1-053-06-005 / 10
Item 5 superseded by N1-053-06-005 / 77
Item 6 superseded by N1-053-06-005 / 76
Item 7 superseded by N1-053-06-005 / 77
Item 10 superseded by N1-053-06-005 / 10
Item 11 superseded by N1-053-06-005 / 10

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK	
TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO NI-53-87-2	
1 FROM (Agency or establishment) Department of the Treasury		DATE RECEIVED 5-18-87	
2 MAJOR SUBDIVISION Bureau of the Public Debt		NOTIFICATION TO AGENCY	
3 MINOR SUBDIVISION Office of Securities and Accounting Services		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
4 NAME OF PERSON WITH WHOM TO CONFER Peter Laugesen	5 TELEPHONE EXT 376-4102	DATE 9-15-87	ARCHIVIST OF THE UNITED STATES <i>Frank J. Binkley</i>
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 5 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 3/5/87	C SIGNATURE OF AGENCY REPRESENTATIVE <i>Peter Laugesen</i>	D TITLE <i>Records Officer</i>
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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 GRS OR SUPERSEDED JOB CITATION date	10 ACTION TAKEN (NARS USE ONLY)
	<p align="center">TREASURY DIRECT</p> <p>The records detailed below are generated and/or maintained by the Bureau of the Public Debt and the Federal Reserve Banks for the TREASURY DIRECT Book-entry Securities System. TREASURY DIRECT was designed as an integrated book-entry system that will provide a comprehensive range of services to individual investors in Treasury bonds, notes and bills. Benefits will be realized not only by investors but also by system users including Fiscal operations at Federal Reserve offices and the Department of the Treasury. In taking advantage of the existing communications network that links Federal Reserve offices and Treasury, TREASURY DIRECT will enable an investor to conduct certain transactions at a local servicing office that can be handled at the present time only in Washington. Investors will be provided with many new services, such as payment of interest, redemption or refunds by direct deposit to their accounts at financial institutions.</p>	<p><i>Wayne P. Lleras</i> 8/13/87 Agency representative date</p> <p><i>Richard W. Morris</i> 8/17/87 NARA appraiser date</p>	

All changes to this proposed schedule have been approved by:

copies to agency, NCF, NNS

1. Original Issue Loan File (Bonds, Notes and Bills). The forms, facsimile copies of the forms or other written communications which meet the criteria of the forms listed below are the supporting documents relating to original issues of Treasury bonds, notes, and bills. Each file contains information pertaining only to one loan.

PD 5174-1	Tender for 2-3 Year Treasury Note
PD 5174-2	Tender for 4 Year Treasury Note
PD 5174-3	Tender for 5-10 Year Treasury Note
PD 5174-4	Tender for Treasury Bond
PD 5176-1	Tender for 13-Week Treasury Bill
PD 5176-2	Tender for 26-Week Treasury Bill
PD 5176-3	Tender for 52-Week Treasury Bill

MICROFILM AFTER PROCESSING. DESTROY PAPER DOCUMENTS
AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM
7 YEARS AFTER FILMING.

2. Case File Records. All the forms, facsimile copies of forms or other written communications which meet the criteria of the forms listed below are supporting documents for bond, note, and bill transactions other than original issue, i.e., new account request, transfers, exchanges, and redemptions. Each file contains the following types of records pertaining to one loan for one fiscal year.

PD 5178	Transaction Request
PD 5179	Security Transfer Request
PD 5180	Reinvestment Request
PD 5181	Request for Treasury Bill Reinvestment (Card)
PD 5182	New Account Request

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3. Supporting Form Records. These are the non-system forms that support TREASURY DIRECT transactions and are maintained for legal purposes and the protection of investor rights.

- a. PD 5188 Power of Attorney for Disposition of Securities
- PD 5189 Resolution for Disposition of Securities
- PD 5201 Disposition of Payment and Securities for Non-Administered Estate
Destroy paper documents after microfilm has proven adequate.
MICROFILM AFTER PROCESSING. DESTROY 7 YEARS AFTER THE OCCURRENCE OF THE TRANSACTION FOR WHICH THE DOCUMENT SUPPORTS.
- b. PD 5190 Application for Recognition as Voluntary Guardian of an Incompetent
- PD 5191 Application for Recognition as Natural Guardian of a Minor
Destroy paper documents after microfilm has proven adequate.
MICROFILM AFTER PROCESSING. DESTROY 7 YEARS AFTER THE LAST TRANSACTION BY THE VOLUNTARY OR NATURAL GUARDIAN.
- c. PD 5192 Stop Payment/Replacement Check Request
- PD 5199 Transmittal Advice
- MICROFILM AFTER PROCESSING. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7 YEARS AFTER FILMING.

4. Original Issue Reports. Tender Transfer Report, Investor Class Report for Treasury Notes and Bonds, Investor Class Report for 52-Week Treasury Bills, Site Exception Report, Unresolved Tenders Report, Open Receivable Due to Withholding, Recalculation of Auction Results Report, and Reinvestment Tenders Failing Minimum/Multiple/Maximum Edits Report.

MICROFILM IMMEDIATELY. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7 YEARS AFTER FILMING.

5. Maintenance, Suspense and History Reports.

Maintenance Reports. Report Writer Summary Report, Loan Maintenance Batch System Summary Report, TREASURY DIRECT Proper Summary Report, TREASURY DIRECT Proper Report, Process Exception Report, Loan Maintenance Error/Exception Report, Original Issue Report Print Summary Report, Report Writer Error Report (TREASURY DIRECT), LTerm Table Maintenance Error Listing, and Security Violation Report.

Suspense Reports. Investor Receivable Report, Daily Investor Receivable Transaction Report, Daily IRS Receivable Report, Daily IRS Receivable Detail Report, Daily Suspense Voucher Transaction Report, Daily Suspense Payment Transaction Report, Investor Suspense Balance Report, and Daily Suspense Voucher Transaction Report.

History Reports. Daily Transaction Reports, Stripped Tender Report, Five Day Old Wire History, One Year Old Account/CUSIP, Sub-Account and Payment History for Suspense Transactions, One Year Old Account/CUSIP, Sub-Account and Payment History, Stripped Check/ACH Payment History, Five Year Old Account History, TREASURY DIRECT Voucher Summary Purge Report, Account/Loan Account Strip Exception Report Payment History Strip Exception Report, and Suspense Payment History Strip Exception Report.

MICROFILM IMMEDIATELY. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7 YEARS AFTER FILMING.

6. Miscellaneous Reports. Accounts Requiring Alpha Cross-References Report, Alpha Cross-Reference Report, Accounts Requiring Treasury Review Report, Accounts Requiring Treasury Review Summary Report, Random Treasury Review Report for MM/DD/YY, Reinvestment Summary Report, Reinvestment Auction Summary Data Report, and Automatic Scheduled Reinvestment Error Report.

MICROFILM IMMEDIATELY. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 1 YEAR AFTER FILMING.

7. Payment and Check/ACH Reports.

Payment Reports. Loan Maturity Report, Consolidated Payment Register, Daily Payment Due Report, Summary of Payments Reports Produced, Automatic Freeze Requested Report, Payments Due on Accounts with Foreign Withholding, and Payments Due on Accounts with Treasury Review.

Check/ACH Reports. Report of Items to be Processed (TREASURY DIRECT), Register of Checks Printed (TREASURY DIRECT), Check Printing Control Report, Check Printing Error Report (TREASURY DIRECT), Check Data Base Control Report (TREASURY DIRECT), Paid Check Register, Exception Check Register, Stale Dating Exception Report, Checks Outstanding More Than 180 Days With Current Adjustments Pending, Report of Items to be Processed (External), Check Register (External), Check Printing Control Report, Check Printing Error Report (External), Check Data Base Update Control Report (External), Check Office Detail Activity Report, Checks Outstanding More Than 60 Days, Voucher Settlement Detail Report (Checks), System Settlement Activity Report, ACH Payment Transmittal, Rejected ACH Returns Report Register, Voucher Authorization Report, and Voucher Detail Record Report.

MICROFILM IMMEDIATELY. DESTROY PAPER DOCUMENTS
AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY
MICROFILM 7 YEARS AFTER FILMING.

8. Security Officer's Reports.

PSWVIO-Site - Security Officer's Report - Password Violation

TD515B0 - Security Officer's Report - Security Violation
Report

TD23 - Security Officer's Request for Logon ID

DESTROY AFTER 1 YEAR.

9. Statistical Reports. Dormant Accounts Report, Federal
Reserve District Report, and State Code Report.

DESTROY AFTER 1 YEAR.

10. Accounting Reports. Daily Cash Wire Report, Daily Balance
Wire Report, Daily Financial Wire Report, Accountability
Summary Report, Summary of Daily Transactions, Daily Report
of CPD Transfers, and Daily CUSIP Balance Report.

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MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7
YEARS AFTER FILMING.

11. Conversion Reports. Conversion Matched Accounts Report,
Conversion Data Verification Report, and Conversion Tenders
Rejection Report.

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YEARS AFTER FILMING.

12. Active and Inactive Masterfile.

- a. Active Masterfile. This file contains all information
concerning the identity, terms and conditions of the
loans eligible to be held in this system.

Delete file when account becomes inactive. Write file to Inactive Masterfile.
~~FILE WILL BE PURGED AS NEEDED AND AS APPROPRIATE
TO THE INACTIVE MASTERFILE BELOW.~~

- b. COMfilm of Updated Inactive Masterfile. This file is
created when loans are purged from the Active
Masterfile (usually annually).

~~DESTROY MICROFILM WHEN REPLACED BY NEW COMFILM OF
UPDATED INACTIVE MASTERFILE.~~

1) Machine readable version: Destroy when latest COMfilm is
produced.

2) COM film: Destroy microfilm when superseded by updated
version (usually annually).

8/12/87

for Sandra Klausma

3/4/87

Eleanor J. Holsopple

Date

Assistant Commissioner

Office of Securities and Accounting Services

~~(signed)~~ Calvin Nimomiya

MAR 11 1987

Calvin Nimomiya

Date

Chief Counsel