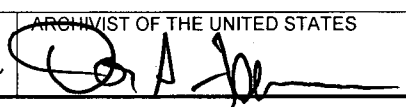



<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		<b>DO NOT WRITE IN THESE SPACES (NARA use only)</b>	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML) 8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001		JOB NUMBER 056-09-7	
1. FROM (Agency or establishment) Department of the Treasury		DATE RECEIVED 6/22/09	
2. MAJOR SUBDIVISION Departmental Offices		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U.S.C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approval" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Evangela C. Wimbush-Jeffrey	202-622-6120	DATE 6/23/09	ARCHIVIST OF THE UNITED STATES 
5. AGENCY CERTIFICATION  I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>2</u> pages(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, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <div> <input checked="" type="checkbox"/> is not required;         </div> <div> <input type="checkbox"/> is attached; or         </div> <div> <input type="checkbox"/> has been requested.         </div> </div>			
DATE 6/12/09	SIGNATURE OF AGENCY REPRESENTATIVE 	TITLE Do Records Officer	
7. ITEM NO.	8. DESCRIPTION OF ITEM OF PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	<b>Treasury International Capital (TIC) Reporting System</b>  <b>Background:</b> The Treasury International Capital (TIC) reporting system is responsible for the regular collection and maintenance of information on international portfolio capital movements and investment positions of the United States vis-à-vis foreigners.  <b>Description:</b> The Treasury International Capital (TIC) Reporting System reports on international portfolio capital transaction and positions to provide timely and reliable information on international portfolio capital movements by U.S. persons. This data collection program is authorized under the International Investment and Trade in Services Survey Act and the Bretton Woods Agreement Act. Under this mandatory reporting system, the Treasury collects information on transactions and holdings of financial assets and other portfolio capital movements between the United States and foreigners. Banks, other depository institutions, bank holding companies, securities brokers and dealers, and non-banking entities in the United		

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**Treasury International Capital (TIC) Reporting System****Background:**

The Treasury International Capital (TIC) reporting system is responsible for the regular collection and maintenance of information on international portfolio capital movements and investment positions of the United States vis-à-vis foreigners.

**Description:**

The Treasury International Capital (TIC) Reporting System reports on international portfolio capital transaction and positions to provide timely and reliable information on international portfolio capital movements by U.S. persons. This data collection program is authorized under the International Investment and Trade in Services Survey Act and the Bretton Woods Agreement Act. Under this mandatory reporting system, the Treasury collects information on transactions and holdings of financial assets and other portfolio capital movements between the United States and foreigners. Banks, other depository institutions, bank holding companies, securities brokers and dealers, and non-banking entities in the United

States file a combination of monthly, quarterly and semi-annual capital movement reports with district Federal Reserve Banks. These data are edited at the district level and are then centrally processed and aggregated by the Federal Reserve Bank of New York before transmission to the Treasury. This information is used primarily in the computation of the U.S. balance of payments accounts and international investment position by the Department of Commerce's Bureau of Economic Analysis (BEA), as well as in providing other information called for in the legislation.

There are statutory restrictions on the use of the data, to preserve the anonymity of reporters and asset holders.

This system provides:

a. monthly data on transactions in long-term securities;

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- b. monthly and quarterly position data on claims and liabilities (including some short-term securities) reported by banks and broker/dealers of securities;
- c. quarterly position data on selected claims and liabilities reported by non-banks and non-broker/dealers;
- d. annual position data on holdings of long-term and short-term securities;
- e. quarterly position and transactions data on financial derivatives; and
- f. quarterly U.S. Gross External Debt Position Data.

**A. Inputs:**

Information is collected from commercial banks and other depository institutions, bank holding companies, securities brokers and dealers, and nonbanking enterprises in the United States, including the U.S. branches, agencies and subsidiaries of foreign-based banks and business enterprises.

The TIC uses several forms to collect all the data. The names of the TIC Forms are: BC, BL-1, BL-2, BQ-1, BQ-2, BQ-3, CQ-1, CQ-2, D, S, SHC, SHCA, SHL, SHLA.

**Disposition:** Temporary. Destroy when no longer needed for operational purposes. **GRS 20/2b.**

**B. System Data:****1. Reporter-identified data.**

The restricted data contains reporter-identified position, survey, and benchmark data back to the late 1970s. There are statutory restrictions on the use of the data, to preserve the anonymity of reporters and asset holders.

**Disposition:** TEMPORARY. Cut off when revisions to data are completed. Destroy or delete when 3 years old or when no longer needed for reference or dissemination, whichever is later.

**2. Banking Claims and Liabilities data.**

The data series are based on submissions of monthly reports on dollar liabilities and claims and on certain custody liabilities denominated in dollars. Quarterly reports are filed for liabilities and claims payable in foreign currencies and on dollar claims held for

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domestic customers. These reports are mandatory and are filed by banks and other depository institutions in the U.S. (including agencies, branches and other banking affiliates of foreign-based banks), International Banking Facilities (IBFs), bank holding companies, and brokers and dealers in the U.S., who, for their own account or for the account of their customers, have reportable liabilities to, or claims on, foreign residents.

**Disposition:** TEMPORARY. Cut off when revisions to data are completed. Destroy or delete when 3 years old or when no longer needed for reference or dissemination, whichever is later.

**3. Nonbanking Claims and Liabilities data.**

Data on claims and liabilities positions with unaffiliated foreigners are collected quarterly. The data cover such instruments as loans and deposits as well as commercial positions in such instruments as trade payables and receivables. The data are collected from importers and exporters, industrial and commercial concerns, and financial entities such as insurance and pension funds. Data exclude claims on foreigners held by banks in the United States.

**Disposition:** TEMPORARY. Cut off when revisions to data are completed. Destroy or delete when 3 years old or when no longer needed for reference or dissemination, whichever is later.

**4. Derivatives Holdings and Transactions data.**

Data on U.S. resident holdings of, and transactions in, derivatives contracts with foreign residents are collected quarterly by the TIC Form D. The data cover both Over-The-Counter (OTC) contracts and Exchange Traded contracts. The data are collected from banks, securities brokers and dealers, and nonfinancial companies in the U.S. with sizable holdings of derivatives contracts.

This data series began in 2005.

**Disposition:** TEMPORARY. Cut off when revisions to data are completed. Destroy or delete when 3 years old or when no longer needed for reference or dissemination, whichever is later.

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**5. Securities Holdings data.**

Cross-border holdings of long-term securities (securities with an original term-to-maturity in excess of one year) are measured at market value through security-level surveys (that is, information is reported separately for each security) that collect data from custodians, issuers, and investors. Previously, such surveys were conducted relatively infrequently: surveys of foreign holdings of U.S. securities were conducted about once every five years, beginning in 1974; surveys of U.S. holdings of foreign securities were conducted about once every three or four years, but only beginning in 1994. Beginning in 2002, annual surveys of foreign holdings of U.S. securities are conducted as of end-June on TIC Form SHL/SHLA; beginning in 2003, annual surveys of U.S. holdings of foreign securities are conducted as of end-December on annual TIC Form SHC/SHCA. Because these data on holdings are security-specific, they permit extensive verification and thus are considered highly reliable.

**a. Retrospective Data, 1974-2000.**

**Disposition:** PERMANENT. Cut off when survey is closed and data revision is completed. Transfer copy of the public use data to NARA upon approval of this schedule.

**b. Current Data, 2001-Present.**

**Disposition:** PERMANENT. Cutoff when survey is closed and data revision is completed (about one year after data is collected). Transfer copy of the public use data to NARA 10 years after cutoff.

**6. Securities Transactions data.**

The data series are based on submissions of monthly TIC Form S, "Purchases and Sales of Long-Term Securities by Foreigners." These reports are mandatory and are filed by banks, securities dealers, investors, and other entities in the U.S. who deal directly with foreign residents in purchases and sales of long-term securities (equities and debt issues with an original maturity of more than one year) issued by U.S. or foreign-based firms.

**Disposition:** TEMPORARY. Cut off when revisions

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to data are completed. Destroy or delete when 3 years old or when no longer needed for reference or dissemination, whichever is later.

**7. U.S. Gross External Debt Position Data.**

This data series details the magnitude of U.S. indebtedness to foreigners. The data on the U.S. Gross External Debt Position are presented in three tables showing the gross level of external debt (Table A), its currency composition (Table B), and the repayment schedule of this debt (Table C). The position data are reported as of the end of each quarter, beginning with June 30, 2003, and are published on the last business day of the following quarter (a one-quarter lag).

Revised data for the previous March, June, September and December are normally released on the last business day of June. Revisions include the results of the Survey of Foreign Holdings of U.S. Securities at the end of the previous June.

This data series began in 2003.

**Disposition:** TEMPORARY. Cut off when revisions to data are completed. Destroy or delete when 3 years old or when no longer needed for reference or dissemination, whichever is later.

**D. Press Releases, Publications, Studies, and Reports**

TIC issues news releases, press releases, and reports on various subjects which include charts, graphs, and table derived from TIC data. For example, some of these reports include Preliminary Survey Data on Foreign Portfolio Holdings of U.S. Securities, Major Foreign Holders of U.S. Treasury Securities, Final Report on U.S. Portfolio Holdings of Foreign Securities, Quarterly Analysis & Charts on TIC securities and banking data, monthly data on transactions in long-term asset-backed securities (ABS).

The data are published regularly in aggregate statistical formats, for the benefit of private users, in the quarterly Treasury Bulletin.

**Disposition:** PERMANENT. Cutoff at the end of 10 years. Transfer to NARA. **N1-056-03-10, item 6b**

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	and 8b.  <b>E. System Documentation</b>  Documentation on TIC includes: Codebooks, records layout, user guide, and other related materials.  <b>Disposition:</b> PERMANENT. Transfer to the National Archives with the permanent electronic records to which the documentation relates. <b>GRS 20/11a.(2)</b>		

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