

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-266-77-01**

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

### Description:

The schedule is inactive because the agency microfilm program was terminated and the duplicate records have been dispositioned.

Date Reported:

NC1-266-77-01

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

# REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

(See Instructions on Reverse)

TO: GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

1. FROM (AGENCY OR ESTABLISHMENT)  
Securities and Exchange Commission
2. MAJOR SUBDIVISION  
Office of Reports and Information Services
3. MINOR SUBDIVISION

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

5. TEL. EXT.  
523-5550

6. CERTIFICATE OF AGENCY REPRESENTATIVE:

LEAVE BLANK	
DATE RECEIVED 04 MAY 1977	JOB NO.
NC1 266	77 1
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 "with-drawn" in column 10.	
1-22-79 Date	James B. Rhoads Archivist of the United States

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 — 8 — page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

4/27/77

*Charles A. Moore*

Charles A. Moore  
Records Officer

(Date)

(Signature of Agency Representative)

(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<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 Securities and Exchange Commission proposes to maintain its official records on <del>microfilm</del> <i>microfilm</i>, which will <del>be retained for 50 years and then destroyed.</del> Accordingly, the records listed below will cease to have sufficient value to warrant retention in their original form and will be retained for 6 months after filming and then destroyed or until ascertained that reproduced copies have been made in accordance with GSA regulations and are adequate substitutes for the paper records. <i>The records will be filmed in accordance with</i> <u>Securities Act of 1933</u> <i>304.</i></p>	<i>8/13/78 confer with Charles Moore JBR</i>	<i>FPMR 101-11.</i>
1.	SEC File No. 2-00-1  Registration statements and amendments thereto covering issues of securities (Regulation C) (Forms C-2, C-3, D-1, D-1A, S-1, S-2, or equivalent.)  Notices of delayed or suspended offering and sale of securities (Rule 462)  <i>Change made with concurrence of Charles Moore 12/15/78 JBR</i> <i>sent Gary + NNG MJD 1-25-79</i>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>Preliminary ("red herring") prospectuses (Rule 433)</p> <p>Requests for withdrawal of registration statements (Rule 477)</p> <p>Reports by first-time registrants of sales of registered securities and use of proceeds therefrom (Rule 463, Form SR)</p> <p>Supplemental financial data (Section 11(a))</p> <p>Undertaking material (Required by Forms S-8 and S-12)</p> <p>Commission Orders:</p> <p>    Fixing effective date of amendments to registration statements pursuant to Section 8(c)</p> <p>    Fixing effective date of registration statements pursuant to Section 8(a)</p> <p>    Consenting to withdrawal of amendment(s)</p> <p>    Consenting to withdrawal of registration statement(s)</p> <p>    <u>Periodic Reports and Amendments thereto filed pursuant to Section 15(d) of the Securities Exchange Act of 1934</u></p>		
2.	<p>SEC File No. 2-00-2</p> <p>Annual reports (Forms 2-MD, 4-MD, 10-K, 11-K, 12-K, or equivalent.)</p> <p>Current reports (Rule 15d-11) (Forms 8-K or equivalent.)</p> <p>Quarterly reports (Forms 10-Q or equivalent (Rule 15d-13)</p> <p>Quarterly reports (Forms N-1Q or equivalent) (Rule 15d-12)</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>Current reports of foreign issuers (Forms 6-K or equivalent) (Rule 15d-16)</p> <p>Special financial reports (Rule 15d-2)</p> <p>Interim reports (due to change in fiscal closing) (Rule 15d-10)</p> <p>Requests for extension of time to file information, document or report (Forms 12b-25) (Rule 12b-25)</p> <p>Notice of suspension of duty to file reports (Forms 15d-6) (Rule 15d-6)</p> <p>Report by issuers of securities on NASDAQ Inter-Dealer Quotation System (Forms 10-C) (Rules 13a-17 and 15d-17)</p> <p><u>Supplemental Information Required by Form 10-K</u></p> <p>Annual report to stockholders Proxy soliciting material Information statements</p> <p><u>Securities Exchange Act of 1934</u></p>		
3.	<p>SEC File No. 1-00-1</p> <p>Registration statements and amendments thereto covering securities listed on a national securities exchange filed pursuant to Section 12(b) (Forms 8, 8-A, 10, 12, 14, 16, 18, 19, 20 or equivalent)</p>		
4.	<p>SEC File No. 0-00-1</p> <p>Registration statements and amendments thereto covering securities traded over-the-counter filed pursuant to Section 12(g)) (Forms 8, 8-A, 10, 12, 16, 20 or equivalent)</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
5.	SEC File Nos. 0-00-1 and 1-00-1  Registration statements for securities of certain successor issuers filed pursuant to Section 12(b) or 12(g) (Form 8-B, Form 8-K - Rule 12g-3)		
6.	SEC File No. 1-00-1  Certification of exchange approving securities for listing and registration pursuant to Section 12(d)  Suspension of trading notices - Section 12(d)		
7.	SEC File No. 0-00-1  Termination of registration of a class of security (Section 12(g) - Form 12g-4)		
8.	SEC File No. 1-00-1  Application(s) by exchange to strike a security from listing and registration (Section 12(d))  Delisting upon rule changes (Section 12(d))  Delisting after being listed on another exchange (Section 12(d))  Notification by exchange of removal from listing and registration of matured, redeemed or retired securities (Section 12(d))  Notification by an exchange of the admission to trading of a substituted or additional class of security  Notice of proposed intent to trade rights, and notice of intent to trade rights, submitted by exchange		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
9.	SEC File Nos. 0-00-2 and 1-00-2  Periodic reports and amendments thereto filed pursuant to Section 13(a)		
10.	SEC File No. 1-00-2  Quarterly reports of management investment companies (Forms N-1Q or equivalent)		
11.	SEC File Nos. 1-00-2 and 1-00-2  Requests for extension of time to file information, document or report (Forms 12b-25) (Rule 12b-25)  <u>Proxy Soliciting Material (Regulation 14A)</u>		
12.	SEC File Nos. 0-00-2 and 1-00-2  Definitive copies of proxy statement, form of proxy and other soliciting material and amended or revised materials (Schedule 14A)  Statement of participant (other than issuer) in a proxy solicitation (Schedule 14B)  Annual report to security holders (Rule 12a-3(c))  Information statements (Regulation 14C)  Preliminary information statements (Rule 14c-5(a))  Definitive information statements and amended or revised materials (Rule 14c-5)  Annual report to security holders (Rule 14c-3(b))		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
13.	<p><u>Investment Company Act of 1940</u></p> <p>SEC File No. 811-00-1</p> <p>Notification of registration (Form N-8A) (Section 8(a))</p> <p>Registration statements by management investment companies (Form N-8B-1); Unit investment trusts (Form N-8B-2); Unincorporated management investment companies issuing periodic payment plan certificates (Form N-8B-3); Face-amount certificate companies (Form N-8B-4) (Section 8(b))</p> <p>Requests for extension of time within which to file above forms (Rule 8b-25)</p> <p>Registration statements of small business investment companies (Form N-5) (Rule 8b-10)</p> <p>Amendments to registration statements (Rule 0-3, 8b-15)</p> <p>Fidelity bond, resolution of board of directors, modifications thereto, notice of cancellation or termination of bond (Section 17(g))</p> <p>Waiver of indemnification (Section 17(h), (i))</p> <p>Application for order determining registrant has ceased to be an investment company (Section 8(f))</p> <p>Applications by other than registrant for order declaring corporate name of registrant is misleading and deceptive (Section 35(d))</p> <p>Copies of pleadings and other court documents (e.g., action or claim by registered investment company against officer, etc. of such company for an alleged breach of official duty) (Section 33(d))</p> <p>Request by company for certificate to be issued to Secretary of Treasury pursuant to Section 851(e) of the Internal Revenue Code of 1954</p>		

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
14.	<p>Commission Orders:</p> <p>Fixing effective date of registration statements pursuant to Section 8(c) of the Securities Act of 1933</p> <p>Declaring registrant has ceased to be an investment company (Section 8(f))</p> <p>Consenting to withdrawal of registration statement</p> <p>SEC File No. 811-00-2</p> <p>Report of independent auditors (Section 17(f))</p> <p>Periodic reports and amendments thereto filed pursuant to Section 30</p> <p>Amendments to reports (Rule 0-3, 8b-15)</p> <p>Statement of subsidiary incorporating by reference as its quarterly report, information and documents contained in Form N-1Q filed by registered holding company (Section 30(b)(1))</p> <p>Periodic or interim and other financial communications containing financial statements, sent to security holders (Section 30(b)(2))</p> <p>Semi-annual reports to stockholders (Section 30(d))</p> <p>Requests for extension of time within which to mail semi-annual reports to stockholders; and replies thereto (Rule 30d-1(a))</p> <p>Proxy soliciting materials (Section 20(a) - also Regulation 14A under the Securities Exchange Act of 1934</p> <p>Definitive copies of proxy statement, form of proxy and other soliciting material (Schedule 14A)</p> <p>Amended or revised proxy material (Rule 12d-6(h))</p>		



REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS—Continuation Sheet

7. ITEM NO.	8. DESCRIPTION OF ITEM (WITH INCLUSIVE DATES OR RETENTION PERIODS)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
15.	<p>Statement of participant (other than issuer) in a proxy solicitation (Schedule 14B)</p> <p>Annual report to security holders (Rule 14a-3(c))</p> <p>SEC File No. 811-00-6</p> <p>Notification of election by registered open-end investment company to commit itself to pay in cash all redemptions requested by a shareholder of record (Form N-17F-1) (Section 18(f))</p> <p>Report of accounting of segregated trust by depositor or principal underwriter (Form N-27D-1) (Section 27(d))</p> <p>Report for issuers of periodic payment plan certificates subject to the surrender right of Section 27(d) (Form N-27D-2)</p> <p>Notice to periodic payment plan certificate holders of 18-month surrender rights with respect to periodic payment plan certificates (Form N-27E-1) (Section 27(e))</p> <p>Notice to periodic payment plan certificate holders of 45-day right with respect to periodic payment plan certificates (Form N-27F-1) (Section 27(f))</p>		