

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-266-77-03**

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 Items are either obsolete or have been superseded by newer NARA approved records schedules.

### Description:

This schedule is obsolete because the agency no longer receives/maintains those filings or the program has been completed.

**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 Reports and Information Services

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Nathan L. Harrison

5. TEL. EXT.

523-5583

LEAVE BLANK	
JOB NO	<b>NC1 266 77 3</b>
DATE RECEIVED	<b>20 JUL 1977</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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.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>4-17-78</b> Date	<i>James B. Rhoads</i> Archivist of the United States

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 8 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>5/6/77</b>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Charles A. Moore</i>	E. TITLE Charles A. Moore Records Officer	
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 Commission, on March 2, 1977, adopted a Records Control Schedule [17 CFR 200.80f], and at the same time authorized the disposal of certain files no longer needed in the ordinary course of business. The following list consists of files which are now obsolete. Such filings are either no longer required, are assigned another file number series, or the program has been completed. The listed files can be destroyed immediately.</p>		

115-107

*Sent to agency & NNG - 4/19/78*

**STANDARD FORM 115**  
Revised April, 1975  
Prescribed by General Services  
Administration  
FPMR (41 CFR) 101-11.4

*42 items*

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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
	<p style="text-align: center;"><u>Securities Act of 1933</u></p> <p>1. SEC File No. 3-3-</p> <p>Prospectus covering securities exempt from registration, Release 182, Federal Trade Commission, and Rule 202 (Form S-3B-1 replaced by Form 1-A, March 6, 1953.)</p> <p>2. SEC File No. 15-</p> <p>Letter of notification of intention to issue securities and prospectus (Regulation A) (Regulation A and D combined and revised, New Regulation A issued July 23, 1956.)</p> <p>3. SEC File No. 18-</p> <p>Trust indenture and prospectus by issuer exempt from Regulation B-T (Regulation B-T rescinded effective November 19, 1959)</p> <p>4. SEC File No. 24-</p> <p>Letter of notification and sales literature (Forms 1-A, 2-A) (Key No. 24- is in effect, however, the rules and forms herein have been rescinded or revised and a new Form 1-A issued.)</p> <p>5. SEC File No. 27-</p> <p>Notification of exemption of Canadian offering - Regulation D. (Forms 1-D thru 6-D) (Regulations A and D combined and revised Regulation A issued July 23, 1956.)</p> <p>6. SEC File No. 29-</p> <p>Prospectus; statement to accompany assessment notice; selling literature (Regulation A-M rescinded, Incorporated into Regulation A effective November, 1959.)</p>		

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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
	<u>Securities Exchange Act of 1934</u>		
7.	SEC File No. 5-  Application for temporary registration of securities on national securities exchanges (Forms 2 and 3)		
8.	SEC File No. 9-  Application by issuer or exchange for registration for dealing in an unissued warrant (Forms 1-J, 2-J, AN-4) (Rescinded 1952)		
9.	SEC File No. 11-  Proxy soliciting material (Use of Key No. 11- for this purpose discontinued effective January 29, 1954, and proxy material filed under Key No. 1-. Key No. 11- now used for proxy material under the Public Utility Holding Company Act of 1935.)		
10.	SEC File No. 21-  Provisional application for registration of securities on national securities exchanges (Form 7 rescinded.)		
11.	SEC File No. 23- (NOW 17-)  Stabilization reports covering an offering "at the market" of securities traded on exchange (Forms X-17A-2, X-17A-3, X-9A6-1)		

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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
	<u>Public Utility Holding Company Act of 1935</u>		
12.	SEC File No. 32- (NOW 70-)  Application for exemption of issue and sale of securities by utility subsidiaries of registered holding companies (Form U-6B-1)		
13.	SEC File No. 34-  Applications by interested parties for reports on plans of reorganization (Forms U-12E-4, U-12E-5)		
14.	*SEC File No. 34-  Declaration re solicitation of proxies in connection with plans of reorganization (Form U-12E-3)		
15.	SEC File No. 36-1  Quarterly report of security acquisitions exempted (Uniform System of Accounts)		
16.	SEC File No. 39- (NOW 6-)  Reports of beneficial ownership of securities (Section 17(a)) (Form and rule abolished effective 1961) (Forms U-17-1, U-17-2)		
17.	SEC File No. 41- (NOW 70-)  Application by registered holding companies and subsidiaries for approval of an increase in percentage of short-term indebtedness.		
18.	SEC File No. 42- (NOW 70-)  Application by non-utility, non-holding, non-investment and non-fiscal or financing agency subsidiaries of registered holding companies for exemption of an issue of securities.		
	*Revision of description of this item authorized by Charles A. Moore per telecom of 1 Aug 77.		

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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
19.	SEC File No. 43- (NOW 70-)  Declaration with respect to issue and sale of securities by registered holding companies and subsidiaries (Form U-7)		
20.	SEC File No. 44- (NOW 70-)  Declaration by registered holding companies and subsidiaries regarding acquisition of securities where acquiring company is issuer (Form U-6B7-1)		
21.	SEC File No. 45- (NOW 70-)  Statement filed by affiliates or persons becoming affiliates of registered holding companies and subsidiaries concerning acquisitions exempted from Section (9)(a)(2) (Rule U-9A2-3 superseded by Rule 11.)		
22.	SEC File No. 46- (NOW 70-)  Application by registered holding companies and subsidiaries, or affiliates or persons becoming affiliates, for approval of acquisition of securities (Form U-10-1)		
23.	SEC File No. 47- (NOW 70-)  Application by registered holding companies and subsidiaries for approval of acquisitions of utility assets or of any other interest in any business (Form U-10-2)		
24.	SEC File No. 48-  Annual report filed by public utility holding companies subject to Uniform System of Accounts (Form U-14-3)		

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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
25.	SEC File No. 51- (NOW 70-)  Declaration by registered holding companies and subsidiaries regarding payment of interest and/or principal on securities which were issued as dividends out of capital or unearned surplus		
26.	SEC File No. 53- (NOW 11-)  Statement with respect to solicitation of proxies regarding securities of registered holding companies or subsidiaries except those covered by Rule 62		
27.	SEC File No. 56- (NOW 70-)  Declaration by registered holding companies regarding sale of public utility securities (Form U-12D-1)		
28.	SEC File No. 57- (NOW 70-)  Declaration by registered holding companies regarding sale of utility assets (Form U-12D-2)		
29.	SEC File No. 58- (NOW 70-)  Declaration by registered holding companies and subsidiaries regarding transactions with companies in same holding company or an affiliate thereof		
30.	SEC File No. 60-  Miscellaneous actions instituted by the Commission such as under Sections 2(a)(7)(B), 2(a)(8)(B), 2(a)(11)(d)		
31.	SEC File No. 61-  Notification by subsidiaries of registered holding companies concerning limited acquisition of utility assets (Superseded by Rule U-41) (Form U-3D-13)		

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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
32.	SEC File No. 63- (NOW 70-)  Application for approval of investment program for funds		
33.	SEC File No. 64- (NOW 70- or 59-)  Application for approval of amount at which to enter investments pursuant to Paragraph 8C of Uniform System of Accounts		
34.	SEC File No. 65-  Application for approval as underwriters in connection with proposed underwriting of new issues		
35.	SEC File No. 66-  Annual statement claiming exemption for small holding company system (Rule 9 rescinded February 5, 1958, effective February 29, 1960.)		
36.	SEC File No. 67- (NOW 70-)  Declaration regarding extension of credit or contribution of subsidiary companies, foreign or domestic		
37.	SEC File No. 71-  Reclassification and original cost studies of companies subject to Sections 15 and 20(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
	<p data-bbox="361 272 839 302"><u>Investment Company Act of 1940</u></p> <p data-bbox="138 332 585 362">38. SEC File No. 11- (*)</p> <p data-bbox="261 393 669 433">Proxy soliciting material</p> <p data-bbox="138 473 731 514">39. SEC File No. 814- (NOW 812-)</p> <p data-bbox="261 544 1039 645">Application for an ineligible person to serve as officer, director, etc. of registered investment company</p> <p data-bbox="138 685 600 725">40. SEC File No. 815- (*)</p> <p data-bbox="261 756 669 796">Proxy soliciting material</p> <p data-bbox="138 836 539 876">41. SEC File No. 822-</p> <p data-bbox="261 897 900 997">Notification of claim of exemption (Form N-6E-1(T) rescinded April 2, 1971, effective July 1, 1971)</p> <p data-bbox="138 1038 539 1078">42. SEC File No. 830-</p> <p data-bbox="261 1108 1093 1179">Reports of beneficial ownership (Forms N-30F-1 &amp; 2 replaced by Forms 3 and 4, effective March 9, 1961.)</p> <p data-bbox="261 1330 1108 1491">(*) Use of Key No. 815- discontinued and material filed under Key No. 11-. Effective May, 1959, use of Key No. 11- for this purpose discontinued, and material is placed in files established under Key No. 811-00-2).</p>		