

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-266-83-05**

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 Items are either obsolete or have been superseded by newer NARA approved records schedules.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 All items below are superseded

NC1-266-83-005, Item 001 is superseded by DAA-0266-2021-0007-0004

NC1-266-83-005, Items 002 - 004 were withdrawn prior to schedule approval

NC1-266-83-005, Item 005 is superseded by N1-266-91-001, Item 007

NC1-266-83-005, Item 006 is superseded by NC1-266-77-002, Item 011

NC1-266-83-005, Item 008 is superseded by DAA-0266-2018-0007-0001

NC1-266-83-005, Item 009 is superseded by DAA-0266-2021-0005-0002

NC1-266-83-005, Item 010 was withdrawn prior to schedule approval

NC1-266-83-005, Item 011 is obsolete. The records are no longer being produced.

NC1-266-83-005, Item 012 is superseded by DAA-0266-2021-0007-0005

NC1-266-83-005, Item 013 is superseded by DAA-0266-2016-0002-0003

Date Reported:

NC1-266-83-05

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

*Heise*

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 and Reports Services**
- 3 MINOR SUBDIVISION

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

5 TEL EXT  
**272-7216**

LEAVE BLANK	
JOB NO <b>NC 1-266-83-5</b>	
DATE RECEIVED <b>11-5-82</b>	
NOTIFICATION TO AGENCY <small>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disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10</small>	
<b>11-22-82</b> <small>Date</small>	<i>Robert H. May</i> <small>Archivist of the United States</small>

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 4 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>11/1/82</b>	D SIGNATURE OF AGENCY REPRESENTATIVE <i>Charles A. Moore</i>	E TITLE <b>Charles A. Moore Records Officer</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>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>As stipulated in NCI-266-77-2, the Commission has re-evaluated its Records Control Schedule and has approved on October 15, 1982 (47 FR 47546), modifications in certain retention periods. Such changes are indicated below.</p>		
		<b>13</b>	<i>items</i>

*Mass Data Change Sheet Attached*  
*Mailed out: 12-6-82 c.m.*      *Copies to NCA & Agency*

## Request for Records Disposition Authority -- Continuation

JOB NO

PAGE OF  
2 of 47  
ITEM NO8 DESCRIPTION OF ITEM  
(With Inclusive Dates or Retention Periods)5  
SAMPLE OR  
JOB NO10  
ACTION TAKENITEM REFERENCE TO NCI-266-77-22-00-3, -4, -5SEC File No. ~~2-00-1, -3, -4, -5~~

1B

1. *zfm*  
*11-17-82*
- a. Registration statements and amendments thereto and Commission orders fixing effective date(s) and/or consenting to withdrawal of registration statement(s) or amendment(s) and related correspondence. (Regulation C) (Forms ~~C-2~~, C-3, D-1, D-1A, S-1, S-2 or equivalent) [17 CFR 230.400 et seq.]

Destroy when 30 years old.

~~2~~ SEC File No. ~~20-00-1, -2, -3, -4~~~~Offering sheets for oil or gas royalties -  
Regulation B (Schedules A, B, C, D) [17 CFR 230.310(a)]~~~~Destroy when 7 years old.~~~~3~~ ~~Reports of sale (accorded confidential treatment)  
(Forms 1-G) [17 CFR 230.316(a)]~~~~Destroy when 7 years old.~~~~4~~ SEC File No. ~~92-00-1, -3~~~~Application for relief from disability - Regulation A  
and related correspondence [17 CFR 230.252(f)]~~~~Destroy when 5 years old.~~

5. SEC File No. 95-00-1, -3

10

Notification of exemption for securities issued by a Small Business Investment Company (Forms 1-E, 2-E) and related correspondence [17 CFR 230.601]

Destroy when 10 years old.

~~2~~  
NCI-266  
-82-1-1

WITHDRAWN

~~4~~  
NCI-266  
-82-1-1

WITHDRAWN

~~9~~  
NCI-266  
82-1-2

WITHDRAWN

Request for Records Disposition Authority - Continuation		JOB NO	PAGE OF 3 of 4
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
6.	SEC File No. 94-00-1, -3  Notification of exemption for assessment or assessable stock and related correspondence (Form 1-F) [17 CFR 230.651]  Destroy when 10 years old.	11	
<del>7.</del>	<del>SEC File No. 96-00-1, -3  Application for relief from disability - Regulation F and related correspondence [17 CFR 230.651(c)]  Destroy when 5 years old.</del>	<del>12</del> NCL-266 82-1-3	WITHDRAWN
8.	SEC File Nos. 0-00-1, -3, -4, and 1-00-1, -3, -4  a. Registration statements (Sections 12(b) and 12(g), exemptions thereunder and related correspondence. (Forms 8-A, 8-B, 10, 12, 14, 16, 19, 19, 20) [17 CFR 240.12b and 240.12g] [17 CFR 249]  Destroy when 30 years old.	15A	
9.	SEC File No. 82-00-1, -3  a. Exemptions - American Depository Receipts [17 CFR 12b3-2(a) & (b)]  Destroy when 10 years old.	16	
<del>10.</del>	<del>SEC File No. 5-1, 5-2, 5-3, 5X  Acquisitions, tender offers and solicitations (Schedules 13D, 14D, 14A) [17 CFR 240.13d-1, 240.14d-1, 240.14f-1]  Destroy when 10 years old.</del>	<del>28</del> NCL-266 82-1-4	WITHDRAWN

## Request for Records Disposition Authority - Continuation

JOB NO

PAGE OF

4 of 4

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
11.	SEC File No. 17-00-1, -3  Reports on stabilizing activities (Form X-17A-1) [17 CFR 240.10b-7(1); 240.17a-2(d)] and related correspondence.  Destroy when 6 years old.	35	
12.	SEC File No. 811-00-1, -3  Notifications and registration statements (Forms N-8A, N-8B-1, 2, 3, 4, N-5) [17 CFR 270.8b-10; 17 CFR 274.5, 274.10 - 14], and related correspondence.  Destroy when 30 years old.	65	
13.	SEC File No. 3- (2-)  Stop orders issued pursuant to Section 8(d) of the Securities Act of 1933.  Destroy when 30 years old.	77	