

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC1-266-84-02**

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 Items are either obsolete or have been superseded by newer NARA approved records schedules.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 because the agency terminated it's microfilm program.

Date Reported:

NC1-266-84-02

# INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

**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 Applications and Reports Services**

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER  
**Ann C. Sykes**

5 TEL EXT  
**272-7244**

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 12/27/83	D SIGNATURE OF AGENCY REPRESENTATIVE <i>Charles A. Moore</i>	E TITLE Charles A. Moore Records Officer
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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>The Commission presently maintains its official permanent records on microfiche in accordance with NCI-266-77-1 and NCI-226-79-2. The Commission proposes to maintain permanent official orders (not presently being filmed) on a film cartridge via a CAR system. In addition, the Commission proposes to maintain nonpermanent records as referenced on the attached pages on a CAR system.</p>		10 items

*NNFG + Agency sent 1-26-84 by DMW.*

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JOB NO <b>NCI-266-84-2</b>	
DATE RECEIVED <b>1-4-84</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	
Date <b>1/28/84</b>	Archivist of the United States <i>Robert M. Warr</i>

Request for Records Disposition Authority—Continuation		JOB NO	PAGE OF 2 of 4
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	<p>The paper records will cease to have sufficient value to warrant retention in their original form and will be destroyed after film inspection.</p> <p>a. Hardcopy</p> <p>Disposition: Destroy hardcopy after microfilm cartridge has been verified for completeness and accuracy.</p> <p>b. Microfilm</p> <p>Disposition: Microfilm daily or as sufficient material is accumulated to complete a film cartridge; the retention schedule is the same as indicated in NCI-266-77-2, or NCI-266-82-1.</p> <p>This certifies that (1) the records described on this form will be microfilmed in accordance with the standards set forth in FPMR 101-11.506, (2) the silver original microfilm will be stored in facilities meeting the standards set forth in FPMR 101-11.507 and 101-11.508, and (3) the silver original microfilm will be inspected on September 1, 1984 and every two years thereafter in accordance with FPMR 101-11.507-2.</p> <p style="text-align: center;"><u>Securities Act of 1933</u></p> <p>1. <del>SEC File No. 9-00-1 (nonpermanent)</del></p> <p><del>Notices of proposed resale of restricted securities and resale of securities by control persons (Forms 144).</del></p> <p style="text-align: center;"><u>Securities Exchange Act of 1934</u></p> <p>2. <del>SEC File No. 6- (nonpermanent)</del></p> <p><del>Reports of beneficial ownership of securities (Forms 3 and 4) (17 CFR 240.16a).</del></p>		
		6	WITHDRAWN
		21	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
	<u>OFFICIAL COMMISSION ORDERS</u>		
	<u>Securities Act of 1933</u>		
3.	SEC File No. 2-00-1  Commission orders fixing effective date(s) and/or consenting to withdrawal of registration statement(s) or amendments; orders abandoning registration statement(s) and orders granting confidential treatment.	1	
4.	SEC File No. 24-00-1  Commission orders terminating or abandoning Offering Statements under Regulation A.	2	
	<u>Securities Exchange Act of 1934</u>		
5.	SEC File Nos. 0-00-1 and 1-00-1  Commission orders fixing effective date of registration statement(s); withdrawing or delisting registration statements; orders granting confidential treatment.	15	
6.	SEC File No. 8-00-1  Commission orders fixing effective date of broker-dealer registration statement(s).	23	
7.	SEC File No. 86-00-1  Commission order fixing effective date of application(s) for registration as a municipal securities dealer.	38 NCL-266-82-1 6	
	<u>Public Utility Holding Company Act of 1935</u>		
8.	SEC File No. 70-00-1  Commission order(s) and notices relating to applications or declarations on Form U-1.	44	
	<u>Investment Company Act of 1940</u>		
9.	SEC File No. 812-00-1  Commission notices and orders for exemptive relief.	67 68	

Request for Records Disposition Authority – Continuation		JOB NO	PAGE OF <i>4 of 4</i>
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10. ACTION TAKEN
10.	<u>Investment Advisers Act of 1940</u>  SEC File No. 801-00-1  Commission orders fixing effective date of applications for registration as investment advisers.	<i>74</i>  <i>24</i> <i>NCI-24-82-1</i> <i>11</i>	