

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-266-84-05

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 Items are either obsolete or have been superseded by newer NARA approved records schedules.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This schedule is inactive because it is superseded by N1-266-91-001, Item 43a and 43b

Date Reported:

NC1-266-84-05

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK	
TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO NC1-266-84-5	
1 FROM (Agency or establishment) Securities and Exchange Commission		DATE RECEIVED 7-10-84	
2 MAJOR SUBDIVISION Office of Applications & Reports Services		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disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Charles A. Moore	5 TELEPHONE EXT 272-7216	DATE 7-12-84	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
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 1 page(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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A GAO concurrence ☐ is attached, or ☒ is unnecessary.

B DATE 6/29/84	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>[Signature: Charles A. Moore]</i>	D TITLE Records Officer	
7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
1	<p>Application for registration as investment adviser and related correspondence.</p> <p>A. Forms ADV, ADV-S, ADV-W, 5-R, 6-R, 7-R (17 CFR 275.203-1, 275.203-2, 275.204-1; 17 CFR 279.1 through 279.7)</p> <p>Cut-off after investment adviser no longer registered. Destroy six years after cut-off.</p> <p>B. Correspondence that contains substantial information about applications for registration as investment adviser.</p> <p>Cut-off at the end of calendar year. Transfer to FRC when three years old. Destroy when ten years old.</p>	NC1-266-82-1, item 11	
<p><i>Agency sent 7-18-84 by DMW.</i></p> <p><i>NCW sent 7-17-84 by DMW.</i></p>			<i>2 items</i>