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File No.	Type of filing	Retention period
	Securities Act of 1933	
2–33	Registration statements and amendments thereto (Regulation C)	30 years.
2–33	Periodic reports (annual, quarterly, current, and proxy material)	30 years.
9–	Notice of proposed resale of restricted securities and resale of securi- ties by control persons (Form 144).	21 years.
15–	Notice of sale of securities pursuant to Rule 242 (Form 242). (Obso- lete).	6 years.
18–	Applications for exemption from section 5 registration for interests or	10 years.
	participations issued in connection with Keogh Plans (section 3(a)(2)).	
19–	Notice of sale of securities pursuant to section 4(6) of the Securities Act of 1933 (Form 4(6)). (Obsolete).	6 years.
20	Offering sheets for oil or gas royalties—Regulation B (Schedules A, B, C).	15 years.
20–	Reports of sale (accorded confidential treatment) (Form 1-G)	7 years.
20–	Reports after termination of offering (Form 3–G) Notice of sale for offerings under Regulation D and section 4(6) (Form	7 years.
21	D).	6 years.
24–	Notification of exemption from registration (Regulation A)	Until completion or termination of offering plus 10 years or order of the Commission permanently suspending exemption, which- ever comes first.
29–	Report of issuers of sale of securities deemed not to involve any pub- lic offering (Form 146). (Obsolete).	6 years.
92–	Application for relief from disability (Regulation A)	Until when final action on appeal is taken plus 10 years.
94–	Notification of exemption for assessment or assessable stock (Regulation F).	10 years.
95–	Notification of exemption for securities issued by a small business in- vestment company (Regulation E).	Until completion or termination of offering plus 5 years or until order of Commission perma- nently suspending exemption, whichever comes first.
96–	Application for relief from disability (Regulation F)	Until final action on appeal is taken plus 5 years.
98–	Notice of proposed sale by non-controlling person of restricted securi-	6 years.
100–	ties of issuers which do not satisfy all of the conditions of Rule 144. Notification of exemption pursuant to Rule 236	6 years.
	Securities Exchange Act of 1934	·
0–1	Registration statements (sections 12(b) and 12(g), exemptions there- under).	30 years.
0–1 3–	Periodic reports (annual, quarterly, current and proxy materials) Applications for continuance in membership and applications for re-	30 years. 10 years.
4 004	view of disciplinary actions (self-regulatory organizations).	For as long as plan remains on
4–281	Consolidated quotation system plan and amendments	For as long as plan remains ap- proved plus 6 years.
4–208	Intermarket trading system plan and amendments	For as long as plan remains ap- proved plus 6 years.
5–	Acquisitions, tender offers and solicitations	20 years.
6– 7–	Reports of beneficial ownership of securities (Forms 3, 4, & 5) Applications for permission to extend unlisted trading privileges and	6 years. 10 years.
8–	related applications pursuant to Rule 12(f). Applications for registration as broker, dealer, municipal securities broker, or government securities broker or dealer and related re-	For as long as broker-dealer is registered with the Commission
8–00–2A	ports. Annual audit report (fiscal or calendar year basis) (Form X–17A–5). (Non-public) Supplemental report detailing Securities Investor Pro-	plus 50 years. For as long as broker-dealer is registered with the Commission
	tection Corporation assessment payment or overpayments (Rule 17a–5). (Non-public).	plus 13 years.
8–00–2A–19	Reports of changes in membership of any of its members required of national securities exchanges and registered national securities as-	For as long as broker-dealer is registered with the Commission
0.00.07	sociations (Form X–17A–19). (Public).	plus 6 years.
8–00–3X	Examination/inspection reports of brokers and dealers, investment companies and investment advisors	
	1. Exam reports: a. Home Office	13 years.
	b. Regional Offices	13 years.
	2. Exam workpapers	