File No.	Type of filing	Retention period
8-00-9	Uniform application for securities and commodities industry represent- ative and/or agent; certification for associated persons engaged in securities activities outside the jurisdiction of the United States; an- nual assessment form for registered brokers and dealers not mem- bers of a registered national securities association (Forms U–4, SECO 2–F, SECO–4, 5).	For as long as broker-dealer is registered with the Commission plus 50 years.
8–2A10	Annual report of revenue and expenses filed by exchange members, brokers and dealers (Form X–17A–10). (Obsolete).	10 years.
8–2A12	Report by registered brokers and dealers who are over-the-counter market makers in any OTC margin securities (Form X–17A–12).	6 years.
8–2A16(1), –2A16(2)	Notification by qualified market makers at least five business days before such broker-dealers obtain third market maker exempt credit pursuant to Regulation U; and quarterly report by broker and dealer, who during a calendar quarter is or has been qualified as a third market maker (Forms X–17A–16(1); X–17A–16(2)) (Obsolete).	6 years.
8–2A17	Quarterly report filed by every broker-dealer block positioner who has filed a notice pursuant to paragraph (a) of Rule 17a–17 (Form X–17A–17) (Obsolete).	6 years.
10	Applications by an exchange for registration as a national securities exchange.	For as long as exchange is registered with the Commission plus 6 years.
13	Applications for listing securities on an exempted exchange, periodic reports.	10 years.
14	Annual reports of issuers having securities listed on an exempted exchange.	10 years.
17	Application for registration as a national securities association or affiliated securities associations. Reports on stabilizing activities (Form X–17A–1). (Obsolete)	For as long as association is registered with the Commission plus 6 years.
23		6 years. Until closed plus 6 years.
26	Plans by exchanges authorizing payment of special commission in connection with a distribution of securities on exchanges (Rule 10b–2(d)).	For as long as exchange is registered with the Commission plus 50 years.
27	Applications for exemption from section 13(f)	10 years.
28 80	Reports by institutional investment managers of information with respect to accounts over which they exercise discretion. (Form 13F). Annual and supplemental reports of Municipal Securities Rulemaking Board (Rule 17a–21).	4 years. Indefinitely (contingent).
81	Exemptions from registration under section 12(g)	10 years.
82– 83–1	Exemptions—American depositary receipts Periodic reports and related correspondence by the Inter-American Development Bank.	10 years. 3 years.
83–2 84–	Periodic reports by the Asian Development Bank	3 years. For as long as transfer agent is
QE.	ments thereto.	registered with the Commission plus 50 years.
85	Application for registration as a transfer agent (bank) and amendments thereto (Form TA-1).	For as long as transfer agent is registered with the Commission plus 50 years.
86	Application for registration as a municipal securities dealer which is a bank or separately identifiable department or division of a bank (Form MSD).	For as long as municipal securities dealer is registered with the Commission plus 50 years.
87	Application for registration as a securities information processor and amendments thereto (Form SIP).	For as long as securities informa- tion processor is registered with the Commission plus 50 years.
88	Application for exemption as a securities information processor correspondence.	For as long as securities informa- tion processor is registered with the Commission plus 50 years.
89–	Waiver for foreign issuers furnished by American depositary receipts; waiver of information furnished by American depositary receipts regarding foreign issuers for Form F–6; waiver of Rule 12g3–2(b) reporting requirements, annual reports to shareholders, F–6 waiver, proxy.	10 years.
89	Other waivers for foreign issuers furnished by American depositary receipts	3 years.
128–8	Reports of disciplinary actions by stock exchanges (Rule 19d–1)	6 years. 6 years. 10 years.
600-	Applications for registration as a (non-bank) clearing agency; amendments thereto.	For as long as clearing agency is registered with the Commission plus 50 years.
600–9	Reports of disciplinary actions by clearing agencies (Rule 19d-1)	1