File No.	Type of filing	Retention period
601	Applications for exemption from registration as a (non-bank) clearing agency.	For as long as clearing agency has reporting requirements with the Commission plus 20 years.
SR	Proposed rule changes and notice as to stated policies and interpretations by self-regulatory organizations.	For as long as self-regulatory or ganization is registered with the Commission plus 6 years.
XX	Reports for missing, lost or counterfeit securities (Form X–17F–1A)	Indefinitely.
	Public Utility Holding Company Act of 1935	
12	Statements pursuant to section 12(i) by persons employed or retained by a registered holding company or subsidiary thereof (Forms U–12(I)–A & B).	2 years.
30	Notification and registration by public utility holding companies, annual supplements.	For as long as holding company has reporting requirements with the Commission plus 10 years.
31	Statement of exemption from the Act by Commission order	For as long as company relies or exemption plus 10 years.
32	Exemption of purchaser, assignee, etc. of leased facilities (Form U7D)	Until lease is terminated or can- celled plus 5 years.
33–1	Annual statement by banks holding public utility securities but claiming exemption under Rule 3.	2 years.
34	Annual statement by banks holding public utility securities but claiming exemption under Rule 3 (Form U–3A3–1).	2 years.
37	Applications and declarations for authorization of service companies (Form U–13–1).	For as long as service company is part of a registered holding company plus 5 years.
38	Statement under Rule 70(a)(1) executed by financial authorizing representative to serve as officer/director of holding company, filed by representative.	For as long as officer/directo serves plus 3 years.
40	Certificates of notification by registered holding companies and subsidiaries of security issues exempted from section 6(a) by section 6(b) or exempt under Rule 47(b) and not the subject of an order of the Commission (Form U–6B–2).	3 years.
49–	Annual report by mutual and subsidiary service companies (Form U– 13–60).	For as long as service company i part of a registered holding company system plus 15 years.
50	Order granting or withdrawing exemptions from rules and related correspondence.	Until close plus 3 years.
52	Application for approval or reorganization under section 11(f)	Until closed plus 3 years.
54 55	Divestment of securities, assets or control (section 11(e))	Until closed plus 3 years. Until closed plus 3 years.
59	Simplification of corporate structure, sections 11(b) (1) and (2)	Until closed plus 3 years. For as long as service company i part of a registered holding company system plus 4 years.
68	Declaration with respect to solicitations regarding reorganizations of registered holding companies or subsidiaries subject to Rule 62 (Form U-R-1).	10 years.
69	Annual statements by holding companies claiming exemption pursuant to Rule 2 (intrastate or predominantly operating companies (Form U–3A–2).	2 years.
70	Applications and declarations pursuant to sections 6(b), 7, 9, 9(c)(3), 10, 12(b), 12(c), 12(d), 12(f) and applicable rules thereunder (Form U-1).	Until closed plus 3 years.
72	Report of communication with stockholders	2 years.
	Trust Indenture Act of 1939	
22	Statements of eligibility and qualification of corporations or individuals as trustees under qualified indenture under which debt security has been or is to be issued and exemptions thereto.	Until indenture is terminated o cancelled plus 30 years.
25	Applications relative to affiliations between trustees and underwriters (Rule 10b–3).	Until applicable indenture is termi nated or cancelled plus 3: years.
93–	Reports of indenture trustee to indenture security holders with respect to eligibility and qualification under Section 310.	1 year.