File No.	Type of filing	Retention period
Investment Advisers Act of 1940		
801	Application for registration as investment adviser and related correspondence. Application for exemption from registered and other relief	For as long as investment adviser is registered with the Commission plus 9 years. For as long as investment adviser conducts business under an exemption plus 6 years.
Investment Company Act of 1940		
811	Notice of sales of securities by closed-end issuers (issuers with 100 or less beneficial owners) other than investment companies, registered or required to be registered. Notifications and registration statements	For as long as registrant is registered with the Commission
811–	Periodic reports (annual, quarterly, semi-annual, proxy material)	plus 30 years. 10 years.
812 812	Applications for exemption and other relief	10 years. For as long as registrant has reporting requirement with the Commission plus 33 years.
813	Applications for exemption of an employee's security company (Section (b)).	For as long as registrant has re- porting requirement with the Commission plus 33 years.
814– 814–	Notice of intent to elect to be subject to sections 55 and 65	2 years from filing date.2 years from filing date.
814	through 65. Notification of election to be subject to sections 55 through 65	30 years or for as long as a class of the issuer's equity securities is registered under the Securities Exchange Act of 1934 plus 10 years, whichever comes first.
816	Request for advisory report re reorganization of registered investment company (17 CFR 270.02), and related correspondence. Report of repurchase of securities by closed-end investment company Sales literature regarding securities of certain investment companies. Statement of the Federal Savings and Loan Corporation relating to the exemption of certain issuers. Reports showing that companies have complied with requirements of the rule in purchasing new issues of securities from underwriters. Reports by registered small business investment companies and affiliated banks, with respect to investments.	6 years.6 years.6 years.6 years.6 years.10 years from date of such action(s).
	Miscellaneous Files and Reports	
3	Disciplinary proceedings (broker-dealer and investment adviser) Administrative proceeding stop orders	25 years. For as long as registrant has reporting requirement with the Commission plus 30 years. 25 years. 25 years.
111– 119–	ized by the Commission. Federal government agencies miscellaneous correspondence Securities violation files (information regarding persons against whom actions were reported on charges of violating state or federal laws in the purples and earlier of regerities.	30 years. Until date of last reported action plus 10 years.
122–2	in the purchase and sale of securities. Members of Congress (inquiries relating to various subjects)	1 year after expiration of term in office.
122–3	Correspondence and other materials between the various Senate Committees and the Commission.	30 years.
122–4	Correspondence and other materials between the various House Committees and the Commission.	30 years.
122–6	Correspondence and other materials between Congressional Commissions and Joint Committees and the Commission.	30 years.
123–13	Correspondence relating to the development of a Canadian Extra- dition Treaty.	30 years.
124–	Stock exchanges (General Correspondence) Legislation and Laws: Drafts and comments concerning suggested	For as long as exchange is registered with the Commission. 30 years.
124–6	amendments to the various Acts administered by the Commission.	