

§ 200.80c

17 CFR Ch. II (4-1-03 Edition)

§ 200.80c Appendix C—Rules and miscellaneous publications available from the Government Printing Office.

(a) The current rules of the Commission are not published by the Commission in pamphlet form. All SEC public rules and regulations, including its Rules of Practice, are contained in title 17 of the Code of Federal Regulations, which also is available for purchase from the Superintendent of Documents, Government Printing Office, Washington, DC 20402. New rules and rules changes, and other Commission releases, except statistical releases, also are published in the FEDERAL REGISTER as they are adopted.

(b) Copies of the following miscellaneous publications may be purchased from the Superintendent of Documents, Government Printing Office, Washington, DC 20402. Please address to him directly all inquiries, orders and payments concerning the following publications:

1. Reports.

SEC Annual Report to the Congress.

2. Periodicals.

Official Summary. A monthly summary of securities transactions and holdings reported under the provisions of the Securities Exchange Act of 1934, the Public Utility Holding Company Act of 1935, and the Investment Company Act of 1940 by officers, directors, and certain other persons.

SEC Monthly Statistical Review. A monthly publication containing data on round-lot and odd-lot share volume in stock exchanges, OTC volume in selected securities, block distributions, securities registrations and offerings, net change in corporate securities outstanding, working capital of U.S. corporations, assets of non-insured pension funds, Rule 144 filings and 8K reports.

Directory of Companies Filing Annual Reports with the Securities and Exchange Commission under the Securities Exchange Act of 1934. Published annually. Lists companies alphabetically and classified by industry groups according to the Standard Industrial Classification Manual of the Bureau of the Budget.

[40 FR 1010, Jan. 6, 1975, as amended at 49 FR 12686, Mar. 30, 1984; 52 FR 24148, June 29, 1987; 52 FR 48193, Dec. 21, 1987]

§ 200.80d Appendix D—Other publications available from the Commission.

(a) Limited amounts of the following materials among others are available free of charge upon request to the Commission's Publications Section, Public Reference Branch, 202-272-7460:

Work of the Securities and Exchange Commission.

Blank copies of all forms used under each of the Acts administered by the Commission.

(b) Facsimile copies of other SEC publications which are out of print may be obtained through the Commission's Public Reference Section, at the cost of the copying service to be performed by the commercial copier employed to do the copying. Purchasers of copies will be billed by the copier. An example of the publications which are available in this way is the Litigation Actions and Proceedings Bulletin.

[52 FR 24148, June 29, 1987; 52 FR 48193, Dec. 21, 1987]

§ 200.80e Appendix E—Schedule of fees for records services.

Search and review services: Up to one half hour total—No fee. For each one half hour or fraction thereof of chargeable service—up to GS-11 employee performing service: \$8.00; GS-12 or above employee performing service: \$14.00.

Attestation with Commission seal: \$4.00

Duplication services: The following duplication services are available. The stated time for delivery in each case begins to run only after receipt of the material by the contractor; if files cannot immediately be made available by the Commission, the time of shipment will be affected.

Regular service. Paper copies of original paper copies, or from microfiche accessible to the contractor, will be shipped within seven calendar days after the contractor receives the order and material at \$0.24 per page, exclusive of any applicable shipment cost and sales taxes.

Other services. The Commission's dissemination contractor also provides a wide range of additional regulated dissemination services through the Commission's public reference rooms. Two offsite services also are provided at prices that are regulated: microfiche subscriptions and watch services. Information concerning the availability of all dissemination services may be obtained by writing to the Commission's public reference room located at 450 Fifth Street, NW., room 1024, Washington, DC 20549 or calling 202-272-3100. Copies made pursuant to requests submitted to the Commission's public reference room will be filled by the contractor and sent directly to the purchaser, unless attestation is requested. The contractor will bill the purchaser directly for the cost of copies plus postage or other delivery charges, and applicable taxes. Purchasers shall make full payment directly to the contractor for these services. Search, review or attestation

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charges will be billed separately by the Commission.

[52 FR 24148, June 29, 1987; 52 FR 48193, Dec. 21, 1987, as amended at 55 FR 41189, Oct. 10, 1990; 57 FR 48970, Oct. 29, 1992; 58 FR 64120, Dec. 6, 1993]

§ 200.80f Appendix F—Records control schedule.

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 securities by control persons (Form 144).	21 years.
15–	Notice of sale of securities pursuant to Rule 242 (Form 242). (Obsolete)	6 years.
18–	Applications for exemption from section 5 registration for interests or participations issued in connection with Keogh Plans (section 3(a)(2)).	10 years.
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)	7 years.
21–	Notice of sale for offerings under Regulation D and section 4(6) (Form 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, whichever comes first.
29–	Report of issuers of sale of securities deemed not to involve any public 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 investment company (Regulation E).	Until completion or termination of offering plus 5 years or until order of Commission permanently 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 securities of issuers which do not satisfy all of the conditions of Rule 144.	6 years.
100–	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 thereunder)	30 years.
0–1	Periodic reports (annual, quarterly, current and proxy materials)	30 years.
3–	Applications for continuance in membership and applications for review of disciplinary actions (self-regulatory organizations).	10 years.
4–281	Consolidated quotation system plan and amendments	For as long as plan remains approved plus 6 years.
4–208	Intermarket trading system plan and amendments	For as long as plan remains approved plus 6 years.
5–	Acquisitions, tender offers and solicitations	20 years.
6–	Reports of beneficial ownership of securities (Forms 3, 4, & 5)	6 years.
7–	Applications for permission to extend unlisted trading privileges and related applications pursuant to Rule 12(f).	10 years.
8–	Applications for registration as broker, dealer, municipal securities broker, or government securities broker or dealer and related reports.	For as long as broker-dealer is registered with the Commission plus 50 years.
8–00–2A	Annual audit report (fiscal or calendar year basis) (Form X–17A–5). (Non-public) Supplemental report detailing Securities Investor Protection Corporation assessment payment or overpayments (Rule 17a–5). (Non-public).	For as long as broker-dealer is registered with the Commission 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 associations (Form X–17A–19). (Public).	For as long as broker-dealer is registered with the Commission plus 6 years.