



Department of Education and Early Development  
 Division of Libraries, Archives & Museums  
 Alaska State Archives/Records & Information Management Service (ASA/RIMS)  
 P.O. Box 110525, 141 Willoughby Avenue  
 Juneau, AK 99811-0525  
 T: (907) 465-2317/2275  
 F: (907) 465-2465

# STATE OF ALASKA

## Records Retention and Disposition Schedule

**Agency I.D: 285      Schedule No: 08-285.1**

DEPARTMENT OF COMMERCE, COMMUNITY AND ECONOMIC DEVELOPMENT  
 DIVISION OF BANKING AND SECURITIES  
 285 - SECURITIES SECTION

The Agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention Schedule (GARRDS), unless those records have been listed on this schedule.

Unless otherwise indicated all records are nonconfidential. This schedule supersedes #80404.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible permanent retention in the State Archives in accordance with AS 40.21.030.

Under 4 AAC 59.005, it is the responsibility of agencies to ensure that records created and maintained in electronic systems remain accessible and durable for their prescribed retention period. This requires addressing the issues of periodic media refreshment, digital migration strategies and security plans. Backups produced for system recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

Pursuant to the provisions of AS 40.21 and 4 AAC 59, the records listed on this schedule are approved for retention and disposition as indicated.

Division Director	Signature of Division Director		Date
	*		9/7/11
Attorney General/Designee	Date	Commissioner of Administration/Designee	Date
*	8/5/11	*	8/24/11
State Archivist	Date	Records Analyst	Date
*	9/12/11	*	9/12/11

\* Original signatures held on file.

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<p><b>001 - Alaskan Issuer Files (Domestic Issuers)</b>                      This series consists of applications for securities registrations by notification or coordination for issuers registered with the SEC. Includes the following: copies of SEC registration statements, correspondence Report of Securities Sales, and use of Proceeds, prospectus and exhibits per AS.45.55.070-45.55.120</p>	H	C+6	Y	C = Until terminated.  File set includes all approved, withdrawn, denied, revoked, or suspended applications.  SEC = Securities & Exchange Commission.
<p><b>002 - National Issuer Files</b>                      See Item 1 for series description.                       Non-Alaskan Issuers.</p>	H	C	Y	C = Until terminated.  File set includes all approved, withdrawn, denied, revoked, or suspended applications.
<p><b>003 - Mutual Fund Files</b>                      See Item 1 for series description.                       Consists of mutual fund filings subject to AS.45.55.075.</p>	H	C	Y	C = Until terminated.  File set includes all approved, withdrawn, denied, revoked, or suspended applications.
<p><b>004 - Administrative Orders</b>                      All orders issued under AS.45.55 or 3 AAC 08.</p>	H	PO	Y	Retain in on site archive in Anchorage office.
<p><b>005 - Broker-Dealer, Agent and Investment Advisor Files</b>                      File set consists of applications for registration per 3 AAC 08.010 &amp; AS 45.55.030 and 45.55.040 includes the following: Uniform Application for Investment Advisor Registration, Uniform Consent to Service of Process, exhibits, appointment of agent, examination results, surety bonds, and renewal applications and correspondence.</p>	H	C+5	Y	File set includes all approved, cancelled, voluntarily suspended, or suspended applications.
<p><b>006 - Canadian Broker-Dealers and Agents</b>                      File set consists of applications for registration per AS 45.55.035 and includes the following: Uniform Application for Registration, Uniform Consent to Service of Process, exhibits, appointment of agent, examination results, surety bonds, and renewal applications.</p>	H	C+5	Y	File set includes all approved, cancelled, voluntarily suspended, or suspended applications.

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

<p><b>Retention Key</b></p> <p>A = Until Audit                      C = Cut-off event/date                      CY = Current Year                      CFY = Current Fiscal Year                      PA = Permanent (Transfer to State Archives)</p> <p>PO = Permanent (Retain in agency office)                      S = Until Scanned                      T = Transfer                      TO = Term of Office</p>	<p><b>Format Key</b></p> <p>H = Hardcopy                      E = Electronic                      D = Database                      M = Microform</p>	<p><b>Bus. Ess = Business Essential</b></p> <p>1. Are necessary for emergency response                      2. Are necessary to resume or continue operations</p>
---	---	---

Item No - Record Series Title & Description	Format	Total Retention	Bus. Ess.	Remarks
<b>007 - Securities Investigation Files</b> This series consists of documentation regarding any complaint involving an issuer, broker-dealer, agent, or investment advisor. Includes legal documents, correspondence, copies of checks and investigation notes per AS. 45.55.910.	H	7	Y	Confidential per AS 45.55.910.
<b>008 - Exemption Files</b> Applications for exemptions from 3 AAC 08.910 AS 45.55.070, and AS 45.55.900 & 3 AAC 08.910. This series documents the confirmation of exemption status and includes correspondence, copies of checks, copies of SEC registration statements and business plans.	H	5	Y	
<b>009 - Land Sale Files</b> This series consists of registration statements, investigations, correspondence, and surety bonds per AS 34.55 & 3 AAC 20.010.	H	6	Y	
<b>010 - Qualification Offerings</b> File set documents those companies qualified to issue securities in the State per AS 45.55.100. Includes correspondence, Application to Register Securities, copies of Orders of Effectiveness, Uniform Consent to Service of Process, copies of, SEC Notice of Sale of Securities, disclosure documents, subscription papers, registration statements and exhibits.	H	C+5	Y	C = Until terminated.
<b>011 - Native Land Claims Settlement Act Corporation Files</b> Consists of annual reports, proxy mailing materials, solicitation materials and statements per AS 45.55.139. Also includes copies of letters to shareholders, board meeting minutes and tape transcriptions, newsletters, and legal documents and correspondence.	H	6	Y	

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

<p align="center"><b>Retention Key</b></p> <p>A = Until Audit                      PO = Permanent (Retain in agency office)                      C = Cut-off event/date              S = Until Scanned                      CY = Current Year                      T = Transfer                      CFY = Current Fiscal Year              TO = Term of Office                      PA = Permanent (Transfer to State Archives)</p>	<p align="center"><b>Format Key</b></p> <p>H = Hardcopy                      E = Electronic                      D = Database                      M = Microform</p>	<p align="center"><b>Bus. Ess = Business Essential</b></p> <p>1. Are necessary for emergency response                      2. Are necessary to resume or continue operations</p>
--	--	--