



DEPARTMENT OF EDUCATION & EARLY DEVELOPMENT
 Division of Libraries, Archives & Museums
 Archives/Records & Information Management Service
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STATE OF ALASKA

Schedule No: 80404

Agency I.D: 285

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RECORDS RETENTION SCHEDULE

RETENTION KEY

FORMAT KEY

| | | | | | |
|---|---|--|--|--|---------------------|
| DEPARTMENT OF COMMERCE, COMMUNITY, AND ECONOMIC DEVELOPMENT DIVISION OF BANKING AND SECURITIES SECURITIES SECTION | A - Audit C - Cut-off date/event CY - Current Year CFY - Current Fiscal Year | PA - Permanent (Transfer to State Archives) PO - Permanent (Retain in Office) TO - Term of Office Bus. Ess. - Business Essential Record | H - Hardcopy E - Electronic D - Database S - Scanned M - Microform | | |
| The Agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention Schedule, unless those records have been listed on this schedule. | | | | | |
| Unless otherwise noted, all records series are retained on a Calendar year basis. | | | | | |
| 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. | | | | | |
| Unless otherwise indicated, all records series are non-confidential. This record schedule supersedes #80403. | | | | | |
| Statutory/Regulatory Authority: AS 45.55 (Alaska Securities Act of 1959); AS 34.55 3 AAC 20 (Land Sales Act); 3 AAC 08 (Securities); AS 45.57 (Takeover Bid Disclosure Act). | | | | | |
| The mission of the Division of Banking, Securities is to efficiently serve the Alaska business and finance community and to provide all Alaskans adequate and effective protection against financial loss due to unscrupulous and abusive misuse of investors and depositors' funds. | | | | | |
| 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, the records listed below are approved for retention and disposition as indicated. | | | | | |
| Typed name of Division Director Lorie L. Hovanec | State Archivist <i>D. Dawson</i> | Date 9/12/11 | Attorney General <i>Alan Bly</i> | Date 8/5/11 | |
| Signature of Division Director/Designee <i>Lorie L. Hovanec</i> | Date 9/7/11 | Records Analyst <i>[Signature]</i> | Date 9/12/11 | Commissioner of Administration <i>[Signature]</i> DOF DIRECTOR | Date 8/24/11 |

| Records Retention Schedule Continuation | | | Agency I.D: 285 | | Schedule No: 80404 | | Page 2 of 5 | |
|---|----------|---|-----------------|-----------|--------------------|-----------|-------------|--|
| Prev. Item No. | Item No. | Records Series Title & Description | Format | Retention | | Bus. Ess. | Remarks | |
| | | | | Office | Records Center | | | Total Retention |
| 1 | 1 | <p>Alaskan Issuer Files (Domestic Issuers)</p> <p>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+1 | 5 | C+6 | X | <p>C=Until terminated.</p> <p>File set includes all approved, withdrawn, denied, revoked, or suspended applications.</p> <p>SEC: Securities & Exchange Commission.</p> |
| 2 | 2 | <p>National Issuer Files</p> <p>See Item 1 for series description.</p> <p>Non-Alaskan Issuers.</p> | H | C | - | C | X | <p>C=Until terminated.</p> <p>File set includes all approved, withdrawn, denied, revoked, or suspended applications.</p> |
| 3 | 3 | <p>Mutual Fund Files</p> <p>See Item 1 for series description.</p> <p>Consists of mutual fund filings subject to AS.45.55.075.</p> | H | C | - | C | X | <p>C=Until terminated.</p> <p>File set includes all approved, withdrawn, denied, revoked, or suspended applications.</p> |
| - | 4 | <p>Administrative Orders</p> <p>All orders issued under AS.45.55 or 3 AAC 08.</p> | H | PO | - | PO | X | <p>Retain in on site archive in Anchorage office.</p> |

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|---|----------|---|-----------------|-----------|--------------------|-----------------|-------------|--|
| Prev. Item No. | Item No. | Records Series Title & Description | Format | Retention | | | Bus. Ess. | Remarks |
| | | | | Office | Records Center | Total Retention | | |
| 4 | 5 | <p>Broker-Dealer, Agent and Investment Advisor Files</p> <p>File set consists of applications for registration per 3 AAC 08.010 & 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 | C+5 | X | File set includes all approved, cancelled, voluntarily suspended, or suspended applications. |
| - | 6 | <p>Canadian Broker-Dealers and Agents</p> <p>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 | C+5 | X | File set includes all approved, cancelled, voluntarily suspended, or suspended applications. |
| 5 | 7 | <p>Securities Investigation Files</p> <p>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.</p> | H | 1 | 6 | 7 | X | Confidential per AS 45.55.910. |

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|---|----------|--|-----------------|-----------|--------------------|-----------------|-------------|---------------------|
| Prev. Item No. | Item No. | Records Series Title & Description | Format | Retention | | | Bus. Ess. | Remarks |
| | | | | Office | Records Center | Total Retention | | |
| | | Exemption Files | | | | | | |
| 6 | 8 | 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 | 1 | 4 | 5 | X | |
| | | Land Sale Files | | | | | | |
| 7 | 9 | This series consists of registration statements, investigations, correspondence, and surety bonds per AS 34.55 & 3 AAC 20.010. | H | 6 | - | 6 | X | |
| | | Qualification Offerings | | | | | | |
| 8 | 10 | 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 | C+5 | X | C=Until terminated. |

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|---|----------|---|-----------------|-----------|--------------------|-----------------|-------------|---------|
| Prev. Item No. | Item No. | Records Series Title & Description | Form at | Retention | | | Bus. Ess. | Remarks |
| | | | | Office | Records Center | Total Retention | | |
| 9 | 11 | Native Land Claims Settlement Act Corporation Files 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 | 1 | 5 | 6 | X | |