

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK	
TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO NI-53-87-2	DATE RECEIVED 5-18-87
1 FROM (Agency or establishment) Department of the Treasury		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION Bureau of the Public Debt		In accordance with the provisions of 44 USC 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3 MINOR SUBDIVISION Office of Securities and Accounting Services		DATE 9-15-87	ARCHIVIST OF THE UNITED STATES <i>Frank J. Binkley</i>
4 NAME OF PERSON WITH WHOM TO CONFER Peter Laugesen	5 TELEPHONE EXT 376-4102		
6 CERTIFICATE OF AGENCY REPRESENTATIVE			

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 5 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached

A GAO concurrence is attached, or is unnecessary

B DATE 3/5/87	C SIGNATURE OF AGENCY REPRESENTATIVE <i>Peter Laugesen</i>	D TITLE <i>Records Officer</i>
-------------------------	---	-----------------------------------

7 ITEM NO	8 DESCRIPTION OF ITEM <i>(With Inclusive Dates or Retention Periods)</i>	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN <i>(NARS USE ONLY)</i>
	<p align="center">TREASURY DIRECT</p> <p>The records detailed below are generated and/or maintained by the Bureau of the Public Debt and the Federal Reserve Banks for the TREASURY DIRECT Book-entry Securities System. TREASURY DIRECT was designed as an integrated book-entry system that will provide a comprehensive range of services to individual investors in Treasury bonds, notes and bills. Benefits will be realized not only by investors but also by system users including Fiscal operations at Federal Reserve offices and the Department of the Treasury. In taking advantage of the existing communications network that links Federal Reserve offices and Treasury, TREASURY DIRECT will enable an investor to conduct certain transactions at a local servicing office that can be handled at the present time only in Washington. Investors will be provided with many new services, such as payment of interest, redemption or refunds by direct deposit to their accounts at financial institutions.</p>	<p align="center">All changes to this proposed schedule have been approved by:</p> <p><i>Maury P. Kierst</i> 8/13/87 Agency representative date</p> <p><i>Richard W. Munn</i> 8/17/87 NARA appraiser date</p>	

copies to agency, NCF, NNS
9-18-87
TRT

1. Original Issue Loan File (Bonds, Notes and Bills). The forms, facsimile copies of the forms or other written communications which meet the criteria of the forms listed below are the supporting documents relating to original issues of Treasury bonds, notes, and bills. Each file contains information pertaining only to one loan.

PD 5174-1 Tender for 2-3 Year Treasury Note
PD 5174-2 Tender for 4 Year Treasury Note
PD 5174-3 Tender for 5-10 Year Treasury Note
PD 5174-4 Tender for Treasury Bond
PD 5176-1 Tender for 13-Week Treasury Bill
PD 5176-2 Tender for 26-Week Treasury Bill
PD 5176-3 Tender for 52-Week Treasury Bill

MICROFILM AFTER PROCESSING. DESTROY PAPER DOCUMENTS
AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM
7 YEARS AFTER FILMING.

2. Case File Records. All the forms, facsimile copies of forms or other written communications which meet the criteria of the forms listed below are supporting documents for bond, note, and bill transactions other than original issue, i.e., new account request, transfers, exchanges, and redemptions. Each file contains the following types of records pertaining to one loan for one fiscal year.

PD 5178 Transaction Request
PD 5179 Security Transfer Request
PD 5180 Reinvestment Request
PD 5181 Request for Treasury Bill Reinvestment (Card)
PD 5182 New Account Request

MICROFILM AFTER PROCESSING. DESTROY PAPER DOCUMENTS
AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM
7 YEARS AFTER FILMING.

3. Supporting Form Records. These are the non-system forms that support TREASURY DIRECT transactions and are maintained for legal purposes and the protection of investor rights.

a. PD 5188 Power of Attorney for Disposition of Securities
PD 5189 Resolution for Disposition of Securities
PD 5201 Disposition of Payment and Securities for Non-Administered Estate
Destroy paper documents after microfilm has proven adequate.
MICROFILM AFTER PROCESSING. DESTROY 7 YEARS AFTER THE OCCURRENCE OF THE TRANSACTION FOR WHICH THE DOCUMENT SUPPORTS.

b. PD 5190 Application for Recognition as Voluntary Guardian of an Incompetent
PD 5191 Application for Recognition as Natural Guardian of a Minor
Destroy paper documents after microfilm has proven adequate.
MICROFILM AFTER PROCESSING. DESTROY 7 YEARS AFTER THE LAST TRANSACTION BY THE VOLUNTARY OR NATURAL GUARDIAN.

c. PD 5192 Stop Payment/Replacement Check Request
PD 5199 Transmittal Advice
MICROFILM AFTER PROCESSING. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7 YEARS AFTER FILMING.

4. Original Issue Reports. Tender Transfer Report, Investor Class Report for Treasury Notes and Bonds, Investor Class Report for 52-Week Treasury Bills, Site Exception Report, Unresolved Tenders Report, Open Receivable Due to Withholding, Recalculation of Auction Results Report, and Reinvestment Tenders Failing Minimum/Multiple/Maximum Edits Report.

MICROFILM IMMEDIATELY. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7 YEARS AFTER FILMING.

5. Maintenance, Suspense and History Reports.

Maintenance Reports. Report Writer Summary Report, Loan Maintenance Batch System Summary Report, TREASURY DIRECT Proper Summary Report, TREASURY DIRECT Proper Report, Process Exception Report, Loan Maintenance Error/Exception Report, Original Issue Report Print Summary Report, Report Writer Error Report (TREASURY DIRECT), LTerm Table Maintenance Error Listing, and Security Violation Report.

Suspense Reports. Investor Receivable Report, Daily Investor Receivable Transaction Report, Daily IRS Receivable Report, Daily IRS Receivable Detail Report, Daily Suspense Voucher Transaction Report, Daily Suspense Payment Transaction Report, Investor Suspense Balance Report, and Daily Suspense Voucher Transaction Report.

History Reports. Daily Transaction Reports, Stripped Tender Report, Five Day Old Wire History, One Year Old Account/CUSIP, Sub-Account and Payment History for Suspense Transactions, One Year Old Account/CUSIP, Sub-Account and Payment History, Stripped Check/ACH Payment History, Five Year Old Account History, TREASURY DIRECT Voucher Summary Purge Report, Account/Loan Account Strip Exception Report Payment History Strip Exception Report, and Suspense Payment History Strip Exception Report.

MICROFILM IMMEDIATELY. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7 YEARS AFTER FILMING.

6. Miscellaneous Reports. Accounts Requiring Alpha Cross-References Report, Alpha Cross-Reference Report, Accounts Requiring Treasury Review Report, Accounts Requiring Treasury Review Summary Report, Random Treasury Review Report for MM/DD/YY, Reinvestment Summary Report, Reinvestment Auction Summary Data Report, and Automatic Scheduled Reinvestment Error Report.

MICROFILM IMMEDIATELY. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 1 YEAR AFTER FILMING.

7. Payment and Check/ACH Reports.

Payment Reports. Loan Maturity Report, Consolidated Payment Register, Daily Payment Due Report, Summary of Payments Reports Produced, Automatic Freeze Requested Report, Payments Due on Accounts with Foreign Withholding, and Payments Due on Accounts with Treasury Review.

Check/ACH Reports. Report of Items to be Processed (TREASURY DIRECT), Register of Checks Printed (TREASURY DIRECT), Check Printing Control Report, Check Printing Error Report (TREASURY DIRECT), Check Data Base Control Report (TREASURY DIRECT), Paid Check Register, Exception Check Register, Stale Dating Exception Report, Checks Outstanding More Than 180 Days With Current Adjustments Pending, Report of Items to be Processed (External), Check Register (External), Check Printing Control Report, Check Printing Error Report (External), Check Data Base Update Control Report (External), Check Office Detail Activity Report, Checks Outstanding More Than 60 Days, Voucher Settlement Detail Report (Checks), System Settlement Activity Report, ACH Payment Transmittal, Rejected ACH Returns Report Register, Voucher Authorization Report, and Voucher Detail Record Report.

MICROFILM IMMEDIATELY. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7 YEARS AFTER FILMING.

8. Security Officer's Reports.

PSWVIO-Site - Security Officer's Report - Password Violation

TD515B0 - Security Officer's Report - Security Violation Report

TD23 - Security Officer's Request for Logon ID

DESTROY AFTER 1 YEAR.

9. Statistical Reports. Dormant Accounts Report, Federal Reserve District Report, and State Code Report.

DESTROY AFTER 1 YEAR.

10. Accounting Reports. Daily Cash Wire Report, Daily Balance Wire Report, Daily Financial Wire Report, Accountability Summary Report, Summary of Daily Transactions, Daily Report of CPD Transfers, and Daily CUSIP Balance Report.

MICROFILM IMMEDIATELY. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7 YEARS AFTER FILMING.

11. Conversion Reports. Conversion Matched Accounts Report, Conversion Data Verification Report, and Conversion Tenders Rejection Report.

MICROFILM IMMEDIATELY. DESTROY PAPER DOCUMENTS AFTER MICROFILM HAS PROVEN ADEQUATE. DESTROY MICROFILM 7 YEARS AFTER FILMING.

12. Active and Inactive Masterfile.

a. Active Masterfile. This file contains all information concerning the identity, terms and conditions of the loans eligible to be held in this system.

Delete file when account becomes inactive. Write file to Inactive Masterfile.
~~FILE WILL BE PURGED AS NEEDED AND AS APPROPRIATE TO THE INACTIVE MASTERFILE BELOW.~~

b. COMfilm of Updated Inactive Masterfile. This file is created when loans are purged from the Active Masterfile (usually annually).

~~DESTROY MICROFILM WHEN REPLACED BY NEW COMFILM OF UPDATED INACTIVE MASTERFILE.~~

- 1) Machine readable version: Destroy when latest COMfilm is produced.
- 2) COM film: Destroy microfilm when superseded by updated version (usually annually).

AK 8/12/87

Sandra Ulasma
for Eleanor J. Holsopple

3/4/87
Date

Assistant Commissioner
Office of Securities and Accounting Services

~~(signed) Calvin Nimomiya~~

MAR 11 1987

Calvin Nimomiya
Chief Counsel

Date