



Agency Records Disposition Schedule

Department: Office of the Secretary of State

Section:

Division: Securities

Sub-Section:

TITLE: Agent and Investment Adviser Representative Registration Files

CUTOFF:EOCY in which registration expires

DESCRIPTION: Records related to the registration of agents and investment adviser representatives to transact securities business in the State of Missouri. Records include, but are not limited to, applications, exhibits, and correspondence.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 13607

SERIES STATUS: Approved

APPROVAL DATE:

3/6/2018

TITLE: Agent, Investment Adviser Representative, Broker-Dealer and Investment Adviser Files - Withdrawn/Cancelled/Denied

CUTOFF:EOCY in which file closed

DESCRIPTION: Records related to withdrawn, cancelled, or denied Agent, Investment Adviser Representative, Broker-Dealer and Investment Adviser registrations in the State of Missouri. Records include, but are not limited to, applications, exhibits, and related correspondence.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 13606

SERIES STATUS: Approved

APPROVAL DATE:

3/6/2018

TITLE: Broker-Dealer Registration Files

CUTOFF:EOCY in which registration expires

DESCRIPTION: Records related to the registration of Broker-Dealers to transact securities business in the State of Missouri. Records include, but are not limited to, applications, exhibits, and correspondence.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 13605

SERIES STATUS: Approved

APPROVAL DATE:

3/6/2018



Agency Records Disposition Schedule

Department: Office of the Secretary of State

Section:

Division: Securities

Sub-Section:

TITLE: Cease and Desist Orders/Administrative Orders

CUTOFF:EOCY

DESCRIPTION: Records related to orders issued by the Commissioner of Securities to individuals or companies who are in violation per 409.113, 409.823, 409.4-412, 409.6-604, RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES: Orders can be used by other states and courts with cases related to respondents.

DISPOSITION ACTION: Permanent - Transfer to Missouri State Archives

SERIES: 18523

SERIES STATUS: Approved

APPROVAL DATE:

3/6/2018

TITLE: Enforcement and Examination Files

CUTOFF:Completion of investigation or examination

DESCRIPTION: Records related to complaints or investigations to determine whether a person has violated, is violating, or is about to violate Missouri securities laws, and examinations of broker-dealers and investment advisers. Records include, but are not limited to, complaints, exhibits, correspondence and other records obtained in connection with an investigation or examination.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 13610

SERIES STATUS: Approved

APPROVAL DATE:

3/6/2018



Agency Records Disposition Schedule

Department: Office of the Secretary of State

Section:

Division: Securities

Sub-Section:

TITLE: Exemption and Exclusion Files

CUTOFF:EOCY

DESCRIPTION: Records related to securities offerings which are excluded or exempt from registration per 409.2-201 and 409.2-202 RSMo. Records include, but are not limited to, notices and related correspondence.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 13609

SERIES STATUS: Approved

APPROVAL DATE:

3/6/2018

TITLE: Investment Adviser Registration Files

CUTOFF:EOCY in which registration expires

DESCRIPTION: Records related to the registration of Investment Advisers to transact securities business in the State of Missouri. Records include, but are not limited to, applications, exhibits, and correspondence.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 13608

SERIES STATUS: Approved

APPROVAL DATE:

3/6/2018

TITLE: Securities Registration Files

CUTOFF:EOCY in which registration is no longer effective

DESCRIPTION: Records related to the registration of securities offerings in the State of Missouri. Records include, but are not limited to, applications, exhibits, and related correspondence.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES: In the State of Missouri, for renewal, a completed form SR-2 must be filed with the Securities Division, on or within 30 days before the anniversary of the effective date of the registration statement.

DISPOSITION ACTION: Destroy

SERIES: 13604

SERIES STATUS: Approved

APPROVAL DATE:

3/6/2018