

State of Nevada SOS: Securities Division

Version Date: 10/16/2013

1989228 Administrative Action Files

Reviewed: 10/20/1989

Description: These records document formal enforcement actions taken by the Division (See NRS 90.780). The files may contain, but are not limited to: Orders, subpoenas, notices, pleadings and similar hearing documentation; Related correspondence.

Retention: Retain these records for a period of six (6) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy

2007070 Athletic Agent Investigation and Disciplinary Files

Reviewed: 09/12/2007

Description: This record series documents complaints, investigations and any disciplinary actions concerning registered athletic agents. The file may contain, but is not limited to: Complaints; Investigation reports (with supporting documentation); Subpoenas; Administrative hearing documentation; Notifications & decrees from the Secretary of State; Related correspondence and similar documentation.

Retention: Retain these records for a period of five (5) calendar years from the close of the case. For complaints that resulted in disciplinary action, retain the records for a period of ten (10) calendar years from the close of the case.

Disposition: Destroy Securely

2007069 Athletic Agent Registration Files

Reviewed: 09/12/2007

Description: This record series documents the application & renewal process and monitoring of individuals registering as an athletic agent (in-state and out-of-state, see NRS chapter 398). The file may contain, but is not limited to: Original application documentation (which may or may not include a photo); Renewal documentation (including notification, renewal forms, copies of fee payment); Address and contact information; Similar documents and related correspondence.

Retention: Retain the original application documentation and the five (5) most current years of records for a period of five (5) calendar years after expiration of the registration.

Disposition: Destroy Securely

1989229 Exemption Files

Reviewed: 10/20/1989

Description: This record series consists of notices of claims for exemption from registration under Nevada securities law (See NRS 90.520 through 90.560 and NRS 90.780). The files may contain, but are not limited to: Exemption claim with supportive documentation; Determination records; Formal notices and findings; Related correspondence.

Retention: Retain these records for a period of six (6) calendar years from the end of the calendar year to which they pertain.

Disposition: Destroy

1989230 Investigative Files

Reviewed: 10/20/1989

Description: These records document investigations by the Division in determining whether there have been violations of Nevada securities laws (See NRS 90.170, 1987 and NRS 90.780). The files may contain but are not limited to: Complaints with associated documentation; Investigation records including reports; Related correspondence.

Retention: Retain these records for a period of six (6) calendar years from the close of the case.

Disposition: Destroy Securely

1989231 Licensing Files

Reviewed: 10/20/1989

State of Nevada SOS: Securities Division

Version Date: 10/16/2013

Description: These records document the licensing of broker-dealers, sales representatives and investment advisors (See NRS 90.310 through 90.440, 1987 and NRS 90.780). The files may contain, but are not limited to: Applications with supportive documentation; Determination records; Disciplinary documentation; Related correspondence.

Retention: Retain these records for a period of six (6) calendar years from the expiration of the license.

Disposition: Destroy Securely

1989232 Registration Files

Reviewed: 10/20/1989

Description: These records document the registration of securities (See NRS 90.460 through 90.560 and NRS 90.780). The files may contain, but are not limited to: Registration documentation; Offering circulars; Related correspondence.

Retention: Retain these records for a period of six (6) calendar years from the expiration of the registration.

Disposition: Destroy

1989233 Waivers and No-Action Letters File

Reviewed: 10/20/1989

Description: These records document the requests for waivers and the granting of such waivers advising the soliciting person that the Division staff will not recommend the administrator take any enforcement action if the transaction is carried out under a described set of facts (See NAC 90.316). The files may consist of, but is not limited to: Requests with supportive documentation; Waivers; No-action Letters; Related correspondence.

Retention: Retain these records for a period of six (6) calendar years from the date of inactivation.

Disposition: Destroy