

**#..SEC-2**

**System name:**

Applications for Registration or Exemption under the Investment Company Act of 1940.

**System location:**

SEC, 450 Fifth Street, NW, Washington, DC 20549.

**Categories of individuals covered by the system:**

Officers, directors, and other individuals related to investment companies.

**Categories of records in the system:**

Name, date of birth, address, telephone numbers, social security number, education, past and present employment, disciplinary history, business relationships, and similar information.

**Authority for maintenance of the system:**

15 U.S.C. 77f, 77g, 77h, 77j, 80a-6, and 80a-8.

**Purpose(s):**

To help the SEC staff process applications for registration or exemption, registration statements, and related forms under the Investment Company Act of 1940 and implement the Federal securities laws and rules.

**Routine uses of records maintained in the system, including categories of users and the purposes of such uses:**

In addition to the conditions of disclosure under 5 U.S.C. 552a(b), the SEC staff may provide these records to:

- (1) Any member of the general public upon request
- (2) Any Federal, state, local, or foreign government authority or securities self-regulatory organization that is investigating a violation or potential violation of a statute, rule, regulation, or order;
- (3) Any Federal, state, local, or foreign bar association or similar licensing authority responsible for possible disciplinary action;
- (4) Any Federal, state, or local government or governmental authority that is deciding to hire or retain an individual, sign a contract, or issue a license, grant, or benefit;
- (5) Any individual or entity appointed by a court of competent jurisdiction or agreed upon by the parties to a pending court action or administrative proceeding alleging a violation of the Federal securities laws or rules; and
- (6) Any contractor that performs, on the SEC's behalf, services requiring the use of these records.

**Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:**

**Storage:**

These records are maintained on paper, microfilm, or magnetic tape and in a computer system.

**Retrievability:**

These records are retrievable by the name of, or a file number assigned to, the registrant. Individual name access to these records is available through the SEC's Name-Relationship Search Index.

**Safeguards:**

Non-computer records are maintained in a central records facility that only authorized individuals may access. The facility is locked, with security cameras and a 24-hour security guard. Computer records, which are subject to data integrity controls, require passcodes for database access.

**Retention and disposal:**

These records are transferred to the Federal Records Center periodically for storage. They are controlled by file number and retained under 17 CFR 200.80f.

**System manager(s) and address:**

Records Officer, SEC, Operations Center, 6432 General Green Way, Alexandria, VA 22312-2413.

**Notification procedure:**

Requests to determine whether this system of records contains a record pertaining to the requesting individual should be sent to the Privacy Act Officer, SEC Operations Center, 6432 General Green Way, Alexandria, VA 22312-2413.

**Records access procedures:**

Persons wishing to access or contest these records should contact the Privacy Act Officer, SEC Operations Center, 6432 General Green Way, Alexandria, VA 22312-2413.

**Contesting record procedures:**

See Records Access Procedures, above.

**Record source categories:**

Applications for registration or exemption and related forms filed with the SEC under the Investment Company Act of 1940.

**Exemptions claimed for the system:**

None.