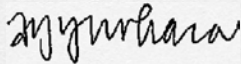


STATE OF HAWAII
RECORDS DISPOSITION AUTHORIZATION

State Archives
Iolani Palace Grounds, Honolulu, Hawaii 96813

Attention: State Archivist

1. In compliance with Section 94-3 Hawaii Revised Statutes, as amended, I hereby request ☐ Continuous authorization to destroy or otherwise dispose of the numbered record items listed below. ☒ Authorization

ITEM NO.	FORM NO.	DESCRIPTION	YEARS OR PERIOD		RETENTION
			FROM	THROUGH	
		<p>DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS Business Registration Division Securities Compliance Branch</p> <p>Unit Investment Trust Notice Filings</p> <p>Pursuant to section 485A-302, HRS, for a federal covered security that is issued by an investment company registered under the Investment Company Act, the notice filing shall include: (1) A Form NF or a copy of the issuer's federal registration statement; (2) A consent to service of process (Form U-2); and (3) The filing fee set forth in section 16-39-103</p> <p>Retention: 7 years from termination of the trust.</p> <p>Disposition: Retain in office for 1 year after date of termination of the trust, then may transfer to State Records Center. Destroy after cited retention.</p> <p> Ty Nohara, Commissioner of Securities Business Registration Division</p>			

2. Record items Nos. _____ will be preserved on microfilm in accordance with Section 92-31 Hawaii Revised Statutes.

It is requested that Record items Nos. _____ be transferred to the State Archives.

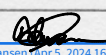
3.  Michael Wun
SIGNATURE OF RECORDS OFFICER

Department of Commerce and Consumer Affairs
AGENCY


 Nadine Y. Ando
SIGNATURE OF HEAD OF DEPARTMENT

4. I hereby certify that the records as listed, unless exceptions are listed below, do not appear to be of sufficient value for legal, administrative, or research purposes to warrant further preservation. Exceptions: _____

Record items Nos. _____ to be transferred to ☐ State Archives ☒ _____
AGENCY

 Adam Jansen (Apr 5, 2024 16:18 CDT)
STATE ARCHIVIST

Date: Apr 5, 2024

5. Destruction or other disposal, with exceptions indicated, approved. 
Keith A. Regan
COMPTROLLER

☐ Continuous authorization
☒ Authorization

Date: Apr 5, 2024



SA-1 DCCA Securities

Final Audit Report

2024-03-25

Created:	2024-03-25 (Hawaii-Aleutian Standard Time)
By:	Cheryl Pang (cpang@dcca.hawaii.gov)
Status:	Signed
Transaction ID:	CBJCHBCAABAA54rxbnqYe7Iye9PZCuKVtS9qXZ3wqWJV
Number of Documents:	2
Document page count:	4
Number of supporting files:	0
Supporting files page count:	0

"SA-1 DCCA Securities" History

-  Document created by Cheryl Pang (cpang@dcca.hawaii.gov)
2024-03-25 - 11:16:51 AM HST
-  Document emailed to Ty Nohara (tnohara@dcca.hawaii.gov) for signature
2024-03-25 - 11:20:02 AM HST
-  Email viewed by Ty Nohara (tnohara@dcca.hawaii.gov)
2024-03-25 - 11:23:48 AM HST
-  Agreement viewed by Ty Nohara (tnohara@dcca.hawaii.gov)
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-  Document e-signed by Ty Nohara (tnohara@dcca.hawaii.gov)
Signature Date: 2024-03-25 - 11:51:51 AM HST - Time Source: server
-  Document emailed to Michael Wun (mwun@dcca.hawaii.gov) for signature
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-  Agreement viewed by Kimberly Umetsu (kumetsu@dcca.hawaii.gov)
2024-03-25 - 12:08:16 PM HST
-  Email viewed by Michael Wun (mwun@dcca.hawaii.gov)
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-  Agreement viewed by Michael Wun (mwun@dcca.hawaii.gov)
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Document e-signed by Michael Wun (mwun@dcca.hawaii.gov)

Signature Date: 2024-03-25 - 12:36:46 PM HST - Time Source: server



Document emailed to Nadine Ando (nando@dcca.hawaii.gov) for signature

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Email viewed by Nadine Ando (nando@dcca.hawaii.gov)

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Agreement viewed by Nadine Ando (nando@dcca.hawaii.gov)

2024-03-25 - 3:50:27 PM HST



Document e-signed by Nadine Ando (nando@dcca.hawaii.gov)

Signature Date: 2024-03-25 - 3:50:41 PM HST - Time Source: server



Agreement completed.

2024-03-25 - 3:50:41 PM HST

STATE OF HAWAII
DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES
Archives Division
Comments and Recommendation

Date: 10/11/2023, 3/20/2024

Records Analyst Name: Gina Vergara-Bautista

Nature of Request: The Securities Compliance Branch, Business Registration Division, Department of Commerce and Consumer Affairs is requesting a new retention schedule for Unit Investment Trust Notice Filings.

Agency Description:

The Securities Compliance Branch is responsible for receiving notice filings from federally covered security that is issued by an investment company registered under the Investment Company Act, pursuant to HRS §485A-302. The branch also conducts field examinations of broker-dealers and investment advisers in Hawaii.

An "investment company security" is a security. "Investment company security" means a share or similar equity interest issued by an entity that is registered as an investment company under the federal investment company laws, an interest in a unit investment trust that is so registered, or a face-amount certificate issued by a face-amount certificate company that is so registered. Investment company security does not include an insurance policy or endowment policy, or annuity contract issued by an insurance company.

A unit investment trust (UIT) is an investment company that offers a fixed portfolio, generally of stocks and bonds, as redeemable units to investors for a specific period of time. It is designed to provide capital appreciation and/or dividend income. Unit investment trusts, along with mutual funds and closed-end funds, are defined as investment companies.

Record Series Description:

§16-39-220 Notice filing for investment company securities.

(a) Pursuant to section 485A-302, HRS, for a federal covered security that is issued by an investment company registered under the Investment Company Act, the notice filing shall include:

- (1) A Form NF or a copy of the issuer's federal registration statement;
- (2) A consent to service of process (Form U-2); and
- (3) The filing fee set forth in section 16-39-103.

(b) Except as otherwise provided in chapter 485A, HRS, and this chapter, a notice filing shall be effective commencing upon the later of its receipt by the commissioner or the effectiveness of the offering with the SEC, and continuing until two months after the issuer's fiscal year end. A notice filing may be renewed prior to its expiration by filing with the commissioner:

- (1) A current Form NF or a copy of the issuer's most recent federal registration statement; and
- (2) The renewal fee set forth in section 16-39-103.
- (c) A renewed notice filing shall take effect upon the expiration of the previous notice filing.
- (d) The initial notice filing by a unit investment trust shall be effective indefinitely. [Eff 6/30/08]
(Auth: HRS §485A-606) (Imp: HRS §485A-302)

According to Securities Compliance Branch, UITs are required to notify them when the trust terminates.

Laws Affecting Retention:

None.

Recommendation:

Below is the proposed retention and disposition that meets the business needs of the agency.

Proposed Series Number, Series Name, and Description	Proposed Retention	Proposed Disposition
430700-0056 Unit Investment Trust Notice Filings Pursuant to section 485A-302, HRS, for a federal covered security that is issued by an investment company registered under the Investment Company Act, the notice filing shall include: <ul style="list-style-type: none"> (1) A Form NF or a copy of the issuer's federal registration statement; (2) A consent to service of process (Form U-2); and (3) The filing fee set forth in section 16-39-103. 	7 years from termination of the trust.	Retain in office for 1 year after date of cancellation, termination, or expiration, then may transfer to State Records Center. Destroy after cited retention.

☒ Approved

☐ Disapproved

Reviewed by:


Adam Jansen (Mar 20, 2024 13:49 HST)

Adam Jansen, Archives Administrator

Date:

Mar 20, 2024







Recommendation for new retention schedule for DCCA Securities Compliance Branch

Final Audit Report

2024-03-20

Created:	2024-03-20 (Hawaii-Aleutian Standard Time)
By:	Gina Vergara-Bautista (gina.s.vergara-bautista@hawaii.gov)
Status:	Signed
Transaction ID:	CBJCHBCAABAAFT6SySEi5H0FE9lj2qCR0ezlDujKXLbv
Number of Documents:	1
Document page count:	2
Number of supporting files:	0
Supporting files page count:	0

"Recommendation for new retention schedule for DCCA Securities Compliance Branch" History

-  Document created by Gina Vergara-Bautista (gina.s.vergara-bautista@hawaii.gov)
2024-03-20 - 9:35:56 AM HST
-  Document emailed to Adam Jansen (adam.jansen@hawaii.gov) for signature
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-  Email viewed by Adam Jansen (adam.jansen@hawaii.gov)
2024-03-20 - 9:58:23 AM HST
-  Agreement viewed by Adam Jansen (adam.jansen@hawaii.gov)
2024-03-20 - 1:48:41 PM HST
-  Document e-signed by Adam Jansen (adam.jansen@hawaii.gov)
Signature Date: 2024-03-20 - 1:49:17 PM HST - Time Source: server
-  Agreement completed.
2024-03-20 - 1:49:17 PM HST