

DEPARTMENT OF STATE TREASURER
INVESTMENT MANAGEMENT DIVISION
PUBLIC EQUITIES

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

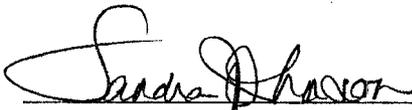
PUBLIC EQUITIES

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed. The**

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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

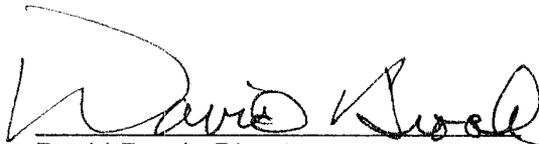
APPROVAL RECOMMENDED



Sandra Johnson,
Chief Record Officer



Jay Chaudhuri, General Counsel
Department of State Treasurer

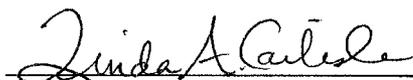


David Brook, Director
Division of Historical Resources

APPROVED



Janet Cowell, State Treasurer
Department of State Treasurer



Linda A. Carlisle, Secretary
Department of Cultural Resources

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ITEM 37334. PERFORMANCE REVIEW FILE. Records concerning the performance of investments. File includes transactions activity reports, covered call options reports, approved list, and other performance reports.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends and after released from all audits, whichever occurs later.

ITEM 48196. DUE DILIGENCE FILE. Records concerning fund research. File includes information regarding the selection process of advisor, staff travel records, correspondence, quarterly performance measurements by staff, and reference copies of investment positions.

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy remaining records in office after 5 years.

ITEM 48197. INVITATION TO APPLY FILE. Records concerning investment management services. File includes qualitative and quantitative responses and supporting documentation from vendors to provide investment management services.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after vendor selection date.

ITEM 48198. TRANSITION PROCESS FILE. Records in paper and electronic formats concerning transition management. Files include proposals, timelines, plans, and reports.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 5 years.

ITEM 48199. FUND CONTRACTS FILE. Contractual documents written by an authorized official concerning public equities. File includes contracts, amendments, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after partnership ends if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office upon completion of action and resolution of issues involved.

ITEM 48200. ANNUAL MEETING DOCUMENTS FILE. Reference copies of records concerning the Fund Manager. File includes documents and reports disseminated at Annual Meetings.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

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ITEM 48201. PRESENTATION FILE. Records concerning fund investments. File includes existing and potential Fund Manager's presentation documents.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after termination of contract or partnership. Destroy in office 2 years if manager is not selected.

ITEM 48202. INVESTMENT ADVISORY BOARD DOCUMENTS FILE. Records concerning the Investment Advisory Board. File includes original and reference copies of Fund Manager documents such as performance charts and letters, and reference copies of reports disseminated at Investment Advisory Board Meetings, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office when reference value ends.

ITEM 48203. ANNUAL REPORTS FILE. Reference copies of yearly records concerning Fund Manager's financial condition.

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after termination of contract or partnership if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 48204. CONTRIBUTIONS/DISTRIBUTIONS FILE. Records in paper and electronic formats concerning internal exchange between asset classes. File includes correspondence authorizing exchange.

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Print and interfile electronic records with related paper records. Destroy in office electronic versions of records after 5 years. Destroy in office remaining records after 5 years.

ITEM 48205. MONTHLY RECAPTURE REPORTS FILE. Electronic records concerning monthly recapture reports.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 48206. QUARTERLY RECAPTURE REPORTS FILE. Electronic records concerning quarterly recapture reports

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

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ITEM 48207. SECTION CORRESPONDENCE FILE. Correspondence in paper and electronic formats from financial institutions sent to the Public Equities Director concerning section and topics of interest such as public equities, and responses prepared by the Public Equities Director. File also includes staff travel information, electronic activity reports, and other related records.

DISPOSITION INSTRUCTIONS: Retention of e-mail records in this series is governed by G1 of the General Schedule for State Agency Records, which requires that e-mail be retained for ten years pursuant to Executive Order No. 18 issued July 7, 2009 by Governor Beverly Perdue. Destroy in office remaining paper and electronic records after 5 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office upon completion of action and resolution of issues involved.

ITEM 48208. BROKERS AND DEALERS (RELATIONSHIP) CORRESPONDENCE FILE. Records in paper and electronic formats concerning divisional correspondence with brokers and dealers relating to account assignments.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 5 years.

ITEM 48209. TRADE TICKETS/CONFIRMATIONS FILE. Reference copies of records concerning securities purchased, sold, and called for the various investment portfolios. File includes daily forms. (Confirmations from a broker are attached to each form.)

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years and when released from all audits, whichever occurs later.