

DEPARTMENT OF STATE TREASURER
INVESTMENT AND BANKING DIVISION

Records Retention and Disposition Schedule

The 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

INVESTMENT AND BANKING DIVISION

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 machine readable records not listed in this schedule are not authorized to be destroyed.

INVESTMENT AND BANKING DIVISION

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 This schedule is to remain in effect until superseded.

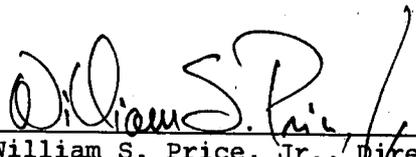
APPROVAL RECOMMENDED



Van T. Lindley, Chief Records Officer
Department of State Treasurer

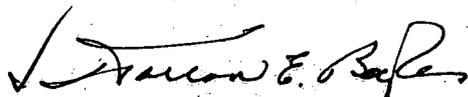


C. Douglas Chappell, Director
Investment and Banking Division



William S. Price, Jr., Director
Division of Archives and History

APPROVED



Harlan E. Boyles, State Treasurer
Department of State Treasurer



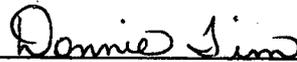
Betty Ray McCain, Secretary
Department of Cultural Resources

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

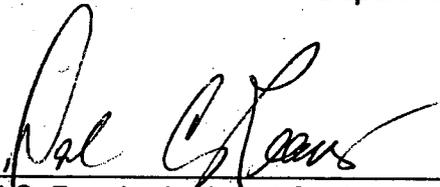
DEPARTMENT OF STATE TREASURER
INVESTMENT AND BANKING DIVISION
CLEARING SECTION

Amend the records retention and disposition schedule approved August 16, 1994 by changing the disposition instructions for Item 3201 as shown on substitute pages dated November 26, 2004.

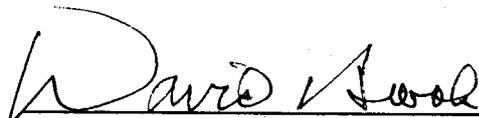
APPROVAL RECOMMENDED



Donnie Tim, Chief Records Officer
Department of State Treasurer

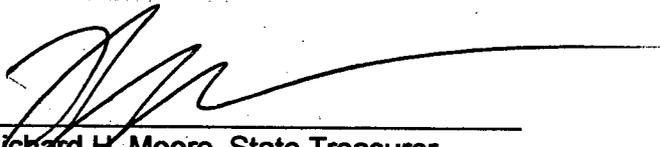


David C. Reavis, Assistant Controller
Banking Operations

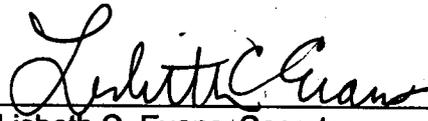


David Brook, Director
Division of Historical Resources

APPROVED



Richard H. Moore, State Treasurer
Department of State Treasurer



Lisbeth C. Evans, Secretary
Department of Cultural Resources

November 26, 2004

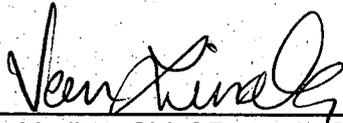
JCG

RECORDS RETENTION AND DISPOSITION SCHEDULE AMENDMENT

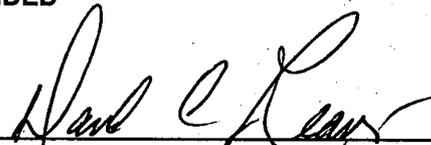
DEPARTMENT OF STATE TREASURER
INVESTMENT AND BANKING DIVISION
BANKING OPERATIONS SECTION
DEPOSITORY BANK ACCOUNTING UNIT

Amend the records retention and disposition schedule approved August 16, 1994 by changing the disposition instructions for Item 3197 as shown on substitute pages dated May 11, 2001.

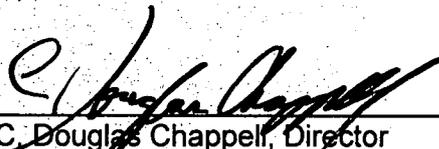
APPROVAL RECOMMENDED



Van Lindley, Chief Records Officer
Department of State Treasurer



David C. Reavis, Deputy Director
Banking Operations



C. Douglas Chappell, Director
Investment and Banking Division

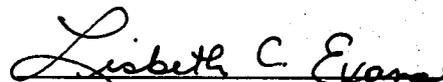


Jeffrey J. Crow, Director
Division of Archives and History

APPROVED



Richard H. Moore, State Treasurer
Department of State Treasurer



Lisbeth C. Evans, Secretary
Department of Cultural Resources

DEPARTMENT OF STATE TREASURER
INVESTMENT AND BANKING DIVISION

Records Retention and Disposition Schedule

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INVESTMENT AND BANKING DIVISION

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 machine readable records not listed in this schedule are not authorized to be destroyed.

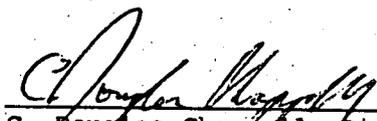
INVESTMENT AND BANKING DIVISION

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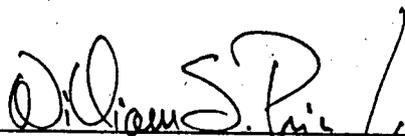
APPROVAL RECOMMENDED



Van T. Lindley, Chief Records Officer
Department of State Treasurer

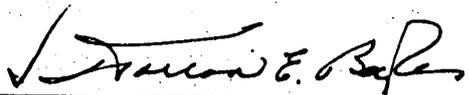


C. Douglas Chappell, Director
Investment and Banking Division

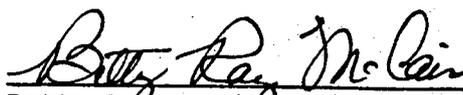


William S. Price, Jr., Director
Division of Archives and History

APPROVED



Harlan E. Boyles, State Treasurer
Department of State Treasurer



Betty Ray McCain, Secretary
Department of Cultural Resources

This schedule was modified to
comply with the provisions of the
General Schedule for State Agency Records,
effective October 1, 2000
Remaining items retain the
original date shown below.

August 16, 1994

JH

**DEPARTMENT OF STATE TREASURER
INVESTMENT AND BANKING DIVISION
BANKING OPERATIONS SECTION
DEPOSITORY BANK ACCOUNTING UNIT**

ITEM 3196. MONTHLY BUDGETARY LEDGER PRINTOUTS FILE.

Monthly printout reports and BB215 by budget code listing all transactions (appropriations, receipts, disbursements, and journal entries) of state agencies, departments, and institutions that involve monies on deposit with the State Treasurer.

DISPOSITION INSTRUCTIONS: Destroy records currently stored in the State Records Center immediately. Destroy in office subsequent records after 2 years and when released from all audits, whichever occurs later.

ITEM 3197. DISBURSING OFFICERS' WARRANT FILE.

Records in paper and machine readable format of cancelled disbursing officers' warrants of state agencies that are not on disbursing account. Amended 5-11-01.

DISPOSITION INSTRUCTIONS: Destroy paper records dated July 1964 through June 1978 currently stored in the State Records Center immediately. Destroy microfilm currently stored in Archives security vault and Agency immediately.

ITEM 16176. CERTIFIED BUDGET FILE.

Reference copies of Certified Budget Forms (Form BD-306), which list legislatively-approved state appropriations by state agency.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

ITEM 16192. CONTROL FORM FILE.

Control forms, which are the posting documents for the departmental general ledger. Attached documents (deposit slips, checks, wire transfer advices, clearing bank debits and credits, etc.) represent investment, clearing, and transfer of money entries.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

ITEM 16197. INTRA-RALEIGH TRANSFER INSTRUCTIONS FORMS FILE.

Records concerning daily instructions to the Specialized Banking Services Unit received from the Investment Management Section. File includes a listing of the amounts of funds transferred between Raleigh clearing banks to adjust balances.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

ITEM 16198. WIRE TRANSFER INSTRUCTION FORMS FILE.

Records concerning instructions to the state custodian bank, Raleigh. File includes a listing of wire transfers made regarding investment transactions.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

ITEM 16200. BANK TRANSACTION ADVICES FILE.

Reference copies of bank generated and State Treasurer's office generated advices concerning funds deposited to and transferred from the clearing bank accounts. File includes duplicate treasurer's checks, transfers advices, deposit memorandums, bank deposit tickets, and other related advices.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

**DEPARTMENT OF STATE TREASURER
INVESTMENT AND BANKING DIVISION
BANKING OPERATIONS SECTION
DEPOSITORY BANK ACCOUNTING UNIT**

ITEM 16218. PROOF OF DEPOSIT (POD) ENTRY BALANCING REPORT FILE.

Computerized reports listing types of items transacted and processed through the POD system.
DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 16219. PROOF OF DEPOSIT (POD) PRIME PASS MASTER LIST FILE.

Computerized reports listing each item processed on the reader-sorter during the POD runs.
File indicates amount and corresponding sequence number and pocket selection of each item processed.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 36185. CASH CONCENTRATION BANK STATEMENTS FILE.

Reference copies of daily bank statements and deposit reconciliation statements received from the State Treasurer's cash concentration banks, reflecting all deposits made by various state agencies.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

ITEM 36186. CASH CONCENTRATION OUTSTANDING ITEMS FILE.

Daily computer printouts (Report BB170) listing all deposits in-transit from the cash concentration banks and their corresponding depositing state agencies.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

ITEM 36187. DEPOSITORY BANK ACCOUNTING UNIT SUBJECT FILE.

Correspondence concerning the designation of depository banks and related maintenance of the accounts. File also includes correspondence relating to establishment of budget codes and other state agency related correspondence.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.

ITEM 36188. MONTHLY BUDGET CODE RECONCILIATION REPORTS FILE.

Monthly printouts (Reports BB225 and BB250) listing summaries of budget code transactions and month-end balances and corresponding reports received from the State Controller's office.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

ITEM 36651. BANK ACCOUNTING EDIT REPORTS FILE.

Daily printouts generated by the Bank and Budgetary System and the Disbursing Account System to ensure that various ledgers were posted correctly. File(s) include Daily Certifications in Transit Ledger (Report BB081T), Daily Bank Ledger (Report BB080), and Daily Disbursing Account Deposits (Report TR205).

DISPOSITION INSTRUCTIONS: Destroy in office after 4 month(s).

ITEM 36652. BANK AND BUDGETARY TRANSACTION SUMMARY FILE.

Daily computer printouts (Report BB021) listing all transactions, including those reported through the State Controller's Cash Management Control System, which are posted to the State Treasurer's Bank and Budgetary System.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

**DEPARTMENT OF STATE TREASURER
INVESTMENT AND BANKING DIVISION
BANKING OPERATIONS SECTION
DEPOSITORY BANK ACCOUNTING UNIT**

ITEM 36653. MONTH-END BANK BALANCES FILE.

Monthly printout (Report BB250P) listing the month-end balances of all bank accounts, including clearing banks, depository banks, and cash concentration agency accounts.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

**DEPARTMENT OF STATE TREASURER
INVESTMENT AND BANKING DIVISION
INVESTMENT MANAGEMENT SECTION**

ITEM 16221. MONTHLY OR QUARTERLY REPORTS AND NOTICES FILE.

Reports and notices concerning Treasurer's Fund Investment Positions, Trust Fund Investment Positions, Cash Positions (Bank Balances), and Certificate of Deposit Rate Change Notices.

DISPOSITION INSTRUCTIONS: Destroy in office after 10 years.

ITEM 16222. TRANSACTION AND ANALYSIS SHEET FILE.

Forms listing actual or proposed benefits to the trading of various funds.

DISPOSITION INSTRUCTIONS: Destroy in office when released from all audits.

ITEM 16223. EQUITY MINUTES FILE.

Minutes of Investment Management Section Committee meetings. (This is an essential agency record.)

DISPOSITION INSTRUCTIONS: Transfer records for fiscal years 1986-1987 through 1989-1990 to the State Records Center immediately to be microfilmed for permanent storage in the security vault. Transfer records for subsequent fiscal years to the State Records Center after 4 years to be microfilmed for permanent storage in the security vault. Transfer all paper records to the custody of the Archives after microfilming.

ITEM 16224. DIVISION CORRESPONDENCE FILE.

Correspondence concerning section and topics of interest to the Investment Management Section. File includes reference copies of budget and staff travel information as well as activity reports.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 years.

ITEM 16225. PRIVATE PLACEMENT FILE.

Descriptions and terms of security bonds purchase agreements.

DISPOSITION INSTRUCTIONS: Destroy in office after security bond matures or is sold.

ITEM 16226. BROKERS AND DEALERS CORRESPONDENCE FILE.

Reference copies of departmental correspondence with brokers and dealers relating to account assignments.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 31255. EQUITY FILE.

Statements of equity investment policies and objectives. File includes or concerns information regarding the selection process of advisor, committee's travel records, correspondence, quarterly performance measurements by staff, and investment positions.

DISPOSITION INSTRUCTIONS: Destroy in office travel records when released from all audits. Transfer records of policies and objectives to the State Records Center after 4 years to be microfilmed for permanent storage in the security vault. Transfer all paper records to the custody of the Archives after microfilming. Destroy in office remaining records after 10 years.

ITEM 37334. EQUITY PERFORMANCE REVIEW FILE.

Records concerning the performance of equity investments. File includes equity 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.

**DEPARTMENT OF STATE TREASURER
INVESTMENT AND BANKING DIVISION
INVESTMENT MANAGEMENT SECTION**

ITEM 37335. PROXY VOTING FILE.

Companies' annual reports and proxy votes which are entered into Proxy Voting (Electronic) File (Item 37336).

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after information is entered into Proxy Voting (Electronic) File (Item 37336).

ITEM 37336. PROXY VOTING (ELECTRONIC) FILE.

Machine readable records documenting annual proxy votes made by the State Treasurer on stock owned by the State Treasurer of North Carolina on behalf of the various retirement

DISPOSITION INSTRUCTIONS: Erase in office when administrative value ends.

**DEPARTMENT OF STATE TREASURER
INVESTMENT AND BANKING DIVISION
SPECIALIZED BANKING SERVICES UNIT**

ITEM 3199. CUSTODY BANK STATEMENTS FILE.

Records concerning custody bank statements. File includes monthly statements received from the custody banks for each portfolio listing investment transactions (includes purchases and sales, interest and dividend credits, securities lending activities, wire transfers, and closing balances).

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) and when released from all audits, whichever occurs later.

ITEM 3200. INVESTMENT TRANSACTION TICKETS/CONFIRMATIONS FILE.

Daily forms indicating securities purchased, sold, and called for the various investment portfolios. (Confirmations from a broker are attached to each form.)

DISPOSITION INSTRUCTIONS: Destroy in office equity related transactions after 5 years. Destroy in office remaining records after 2 years and when released from all audits, whichever occurs later.

ITEM 16194. CUSTODY BANK ACCOUNT JOURNAL FILE.

Daily reports received from the custody bank listing each investment portfolio's maturing interest, dividend, and principal payments posted each day, as well as each purchase/sale that actually settled. Notations on the reports indicate the actual amounts collected and the date of each collection.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

ITEM 16195. INVESTMENT/COLLECTIONS BULKING REPORT FILE.

Records concerning daily cash transactions schedules to be funded/collected for each portfolio. File includes or concerns securities purchased from various brokers and amounts of funds to be paid, securities sold to various brokers, and amounts of funds to be received as payment.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

ITEM 16201. ESCROW COLLATERAL CORRESPONDENCE FILE.

Correspondence and advices between the Department of State Treasurer and North Carolina banks and savings institutions and their escrow banks regarding securities pledged to the State Treasurer to secure the deposit of state funds in the various banks and savings institutions.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after securities have been released from pledge position.

ITEM 16202. SECURITIES HELD IN SAFEKEEPING FILE.

Correspondence and copies of ledger cards representing securities held in safekeeping for various state agencies. Agencies include the Departments of Insurance, Revenue, Agriculture, and Public Instruction; the Division of Motor Vehicles; and the Industrial Commission. Each card describes security deposited, amount of security, date security received, and date security returned. File includes correspondence which indicates agency from which security received and agency to which security released.

DISPOSITION INSTRUCTIONS: Destroy in office 1 year after securities are removed from deposit.

**DEPARTMENT OF STATE TREASURER
INVESTMENT AND BANKING DIVISION
SPECIALIZED BANKING SERVICES UNIT**

ITEM 16203. QUARTERLY AND ANNUAL REPORTS ON COLLATERALIZATION FILE.

Reports filed by financial institutions indicating the adequacy of collateral pledged to secure public deposits. File includes Forms INV-96, INV-97, and INV-98.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 16204. PUBLIC DEPOSIT STATUS REPORTS FILE.

Reports filed by local units of governments, indicating the accounts that are maintained with financial institutions.

DISPOSITION INSTRUCTIONS: Destroy in office after 1 year.

ITEM 16205. ESCROW AGREEMENTS FILE.

Triplicate original of escrow agreements executed between the State Treasurer, financial institutions, and escrow agents (Form INV-93). File includes copies of signature cards for the Federal Reserve Bank.

DISPOSITION INSTRUCTIONS: Destroy in office agreements 2 years after termination if no official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office copies of signature cards when superseded or obsolete.

ITEM 31256. AUTOMATED CLEARING HOUSE (ACH) TRANSACTION REPORTS FILE.

Records concerning daily transmissions to the bank of entry which contains Automated Clearing House (ACH) entries. Records reflect monies transferred and collected through the payment system.

DISPOSITION INSTRUCTIONS: Destroy in office after 3 year(s) and when released from all audits, whichever occurs later.

ITEM 31257. BANK BALANCE ANALYSIS FILE.

Analysis reports received monthly from each clearing bank reflecting the amount of activity related to the accounts. File includes report consolidating all activity in order to calculate target balances for each bank.

DISPOSITION INSTRUCTIONS: Destroy in office after 5 year(s) and when released from all audits, whichever occurs later.

ITEM 31258. CUSTODIAN BANK BULKING REPORT FILE.

Records concerning the consolidation of net payments/collections for all custody bank accounts and reflecting the net wire transfer to be made to or from the Raleigh depository bank.

DISPOSITION INSTRUCTIONS: Destroy in office after 2 year(s) and when released from all audits, whichever occurs later.

ITEM 31259. SPECIAL FUNDS RECORDS FILE.

Records concerning accounting for receipts and disbursements for certain special funds maintained by the Department of State Treasurer. Special funds include Absentee Insurance Fund, Land Titles Assurance Fund, and Pine Lakes Fund. (Political Parties Fund and Presidential Election Year Candidate Fund transferred to State Board of Elections July 1, 1991.)

DISPOSITION INSTRUCTIONS: Transfer to the State Records Center when released from all audits and administrative value ends. Records will be held for agency in the State Records Center 5 additional years and then transferred to the custody of the Archives.

**DEPARTMENT OF STATE TREASURER
INVESTMENT AND BANKING DIVISION
SPECIALIZED BANKING SERVICES UNIT**

ITEM 36192. BANKING OPERATIONS SECTION SUBJECT FILE.

Correspondence, reports, and other materials concerning the operations of the three units within the Banking Operations Section.

DISPOSITION INSTRUCTIONS: Destroy in office when administrative value ends.