



## Frequently Asked Questions (FAQs)

### Records on Trading of Securities by Corporate Insiders, 7/11/1978 - 3/12/2001 Record Group 266

Updated May 29, 2020

#### 1. What information is in these records?

This series has information on the name of the issuer of the security; the security name and Committee on Uniform Security Identification Procedures (CUSIP) number; the insider or reporting person and his or her relationship to the issuer; the nature of the ownership; the date and type of transaction; the number of shares and the value of each share traded; and the holdings reported by the individual at the end of the reporting period.

#### 2. Why were these records created?

The agency created this system, which it called the Ownership Reporting System (ORs), to automate and expedite the publication of the "Official Summary of Security Transactions and Holdings," as part of SEC's regulation of insider trading in securities.

#### 3. Why are there X's in the "SS/TAX Number" and "INV SS" columns in some of the records?

NARA has masked this information in those records to prevent the exposure of the person's Social Security number, in keeping with the FOIA exemption (b)(6).

#### 4. How can I access a copy of the full file(s)?

The raw data file, along with the associated technical documentation, may be downloaded from the National Archives Catalog at: <https://catalog.archives.gov/>. There you can search by the series name, Records on Trading of Securities by Corporate Insiders, or using the National Archives Identifier 572696, which is the description identifier for this series.

In the results, select to view the full series description. Click on the link "file unit(s) described in the catalog" next to "Includes:" for a list of the file units within this series. Then select the file unit containing the records of interest to you. The file unit description will include the list of electronic records and documentation files available for viewing and/or downloading.

Additional information about downloading electronic records from the Catalog is available at: <https://www.archives.gov/research/electronic-records/access-in-catalog-faqs>.

Please keep in mind that the data file consists of the raw structured data as loaded into AAD (i.e. the coded values without meanings), but without the AAD software that displays the meanings for coded values and field titles. For more details about using files containing raw structured data, you may wish to review our "Introduction to Raw Data" at: <https://www.archives.gov/files/research/electronic-records/raw-data-intro.pdf>.

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