Frequently Asked Questions (FAQs)

Records About the Proposed Sale of Unregistered Securities by Individuals, 1/4/1972 - 9/29/2000
Record Group 266

Updated May 29, 2020

1. What information is in these records?

This series has information on the security name; names of the issuer, seller, and broker-dealer; seller's relationship to the issuer; name of class of security to be sold; the number of shares or other units to be sold, their aggregate market value, and number of shares or other units outstanding; approximate date of proposed sale; stock exchange codes; date the securities were acquired and code for nature of the acquisition; and number of shares sold in previous six months.

2. Why were these records created?

The agency created these files to contain data filed on Form 144, a notification to the agency of the owner's intent to resell unregistered securities as part of SEC's regulation of the sale of unregistered securities.

3. 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 About the Proposed Sale of Unregistered Securities by Individuals, or using the National Archives Identifier 567822, 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.