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UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

OFFICE OF THE
GENERAL COUNSEL

Stop 9612

July 19, 2006

Re: Appeal, Freedom of Information Act ("FOIA") Request No. 2006-6261

I am responding to your June 24, 2006, Freedom of Information Act appeal of the response by the FOIA/Privacy Act Officer, Securities and Exchange Commission, regarding your request for a copy of a list of internal forms. On June 20, 2006, the FOIA Officer stated that access was provided to the requested information, but provided a listing of publicly available registrant forms.

I have considered your appeal and enclosed is a copy of the listing of internal forms as requested. If you have any questions, please call Celia Jacoby, Senior Counsel, at 202-551-5158.

For the Commission
by delegated authority,

Richard M. Humes
Associate General Counsel

Internal Forms

The following forms are available electronically. Forms that are not available electronically can be obtained from Publications. Call them at 202 551-4040 or send e-mail to Publications and Printing.

Search



or use the alphabetical listing:

A - D E - G H - K L - O P - Q R - S T - Z

Additional Sources for Forms

- Internal forms listed by number
- SEC registrant forms
- OPM Standard Forms (for Federal benefits and employment matters)
- Forms.gov (Federal forms portal)
- GSA Forms Library (wide variety of Federal forms)

Accommodation and Related Forms

- Reasonable Accommodation Form (MS Word format)
- Accommodations Information Tracking Form
- WH 380 - Certification of Physician or Practitioner (at Forms.gov)

Awards and Employee Recognition

- SEC-48 - Award Recommendation and Approval

Benefits (Other than Transportation)

- SEC-2563 - Child Care Subsidy Program Application (PDF format)
- SF 1152 - Designation of Beneficiary for Unpaid Compensation of Deceased Federal Employee (PDF format; at Forms.gov)
- SF 2809 - FEHB Health Benefits Election Form (PDF format; at OPM)
- SF 2817 - FEGLI Life Insurance Election Form (PDF format; at GSA)
- SF 3102 - Designation of Beneficiary for the Federal Employees Retirement System (FERS) (PDF format; at Forms.gov)
- TSP-1 - Thrift Savings Plan Election Form (PDF format; at TSP.gov)
- TSP-1-C - Thrift Savings Plan Catch-Up Contribution Election (PDF format; at TSP.gov)
- TSP-3 Thrift Savings Plan Designation of Beneficiary (PDF format; at TSP.gov)
(for more TSP forms, access "Civilian Forms" at www.tsp.gov)

Employment and Job Application Process

- OPM 612 - Optional Application For Federal Employment (PDF format; at GSA)

Financial Disclosure

Important: Before working with SF 278 or OGE 450, see the Ethics Office page on Financial Disclosure Forms and Information. Before working with SEC-681, see the Ethics Office page on Ethics Bulletins (Securities Transactions).

- SEC-681 - Employee Report of Securities Transactions (MS Word format)
- SEC-682 - Employee Filing Form (for new staff) (PDF format)
- SEC-687a - Continuation page for SEC-681 (PDF format)
- SF 278 - Public Financial Disclosure Report (at U.S. Office of Government Ethics)
- OGE Form 450 - Confidential Financial Disclosure Report (at U.S. Office of Government Ethics)

Financial Management

- SEC-91 - Billing Statement (PDF format)
- SEC-1712 - Claim for Fees and Expenses of Witness (PDF format)

Forms Management

- Request for Forms Review (PDF format)
- SEC-2267 - Forms Stock Update (PDF format)

Human Resources Management

- SEC-1280 - Reassignment Request (PDF format)
- SEC-1455 - Employee Clearance Record (PDF format)
- SF 61 - Appointment Affidavits (PDF format; at GSA)

IT and Computer Systems

- SEC-2555 - Account Access Tracking System Form
- Web CRD - User Account Update Form (MS Word)

Leave and Related Issues

- OPM 71 - Leave Form (Formerly SF 71 - Annual Leave/Sick Leave/Approved Absence/Leave Slips) (PDF format; at GSA)
- OPM 630B - Request To Donate Annual Leave to Leave Recipient (Outside Agency) Under the Leave Transfer Program (PDF format; at OPM)
- SEC-1749 - Request for Overtime and Approval
- SEC-2330 - Request To Donate Annual Leave to an SEC Leave Recipient (PDF format)
- SEC-2387 - Application To Use/Earn Credit Hours (PDF format)
- SEC-2391 - Application To Become a Leave Transfer Recipient (MS Word format)
- SEC-2392 - Interagency Donation of Annual Leave (PDF format)

Mailing and FAX

- FAX Cover Sheet (PDF format)
- SEC-2377- Request for Express Mail Services (PDF format)
- PS 3533 - Application and Voucher for Refund of Postage and Fees (PDF format; at the U.S. Postal Service)

Meetings, Participation in

- SEC-1743 - Request for Participation in an Outside Meeting
- SEC-1743a - Notification for Participation in an Outside Meeting (for Chairman and Commissioner use only) (PDF format)

Pay

- FMS 2231 - Fast Start Direct Deposit of Pay (PDF format; at Financial Management Service, Treasury)

Performance Evaluation and Planning

- SEC-2494 - Performance Plan and Evaluation (for Non-Supervisors) (PDF format)
- SEC-2495 - Performance Plan and Evaluation (for Supervisors) (PDF format)

Printing, Copying, and Desktop Publishing

- SEC-12 - Printing Requisition (PDF format)
- SEC-1750 - Desktop Publishing Request Form (PDF format)
- SEC-2081 - Request for Personal Calling Cards (a/k/a Business Cards) (PDF format)
- SEC-2388 - Copy Service Requisition (PDF format)

Procurement and Acquisition

- SEC-2350 - Contractors' Performance Evaluation (PDF format)
- SEC-2414 - Contract Completion Statement (PDF format)
- SEC-2415 - Contract Closeout Checklist (PDF format)
- SEC-3000 - Momentum Request Input Sheet (PDF format)

Property Management

- SEC-2040 - Hand Receipt (for property) (PDF format)
- SEC-406a - Property Transaction Report (PDF format)

Publishing (External) and Public Speaking

- SEC-2432 - Clearance Request Form (PDF format)

Retirement

- SEC-1455 - Employee Clearance Record (PDF format)
- SF 2802 - Application for Refund of Retirement Deductions (CSRS) (PDF format; at GSA)
- SF 2819 - Notice of Conversion Privilege - Federal Employees' Life Insurance Program (PDF format; at GSA)
- SF 2821 - Agency Certification of Insurance Status - Federal Employees' Group Life Insurance Program (PDF format; at GSA)
- SF 3106 - Application for Refund of Retirement Deductions (FERS) (PDF format; at GSA)
- TSP-9 - Change of Address for Separated Participant in the Thrift Savings Plan (PDF format; at TSP.gov)
- TSP-16 - Exception to Spouse Requirements for the Thrift Savings Plan (PDF format; at

- TSP.gov)
- TSP-70 - Request for Full Withdrawal from the Thrift Savings Plan (PDF format; at TSP.gov)
- TSP-77 - Request for Partial Withdrawal When Separated - Thrift Savings Plan (PDF format; at TSP.gov)

Security and Building Access

- SEC-725a - Identification / Access Control Card Worksheet (PDF format)
- SEC-2444 - Offense/Incident Report (PDF format)
- SF 85P - Questionnaire for Public Trust Positions (PDF format; at OPM)
- GSA 3155 - Offense/Incident Report (succeeds GSA 182 - Report of Loss or Theft) (PDF format; at GSA)

Supplies

- SEC-68 - Supply Requisition (PDF format)

Taxes

- State Tax Forms - links to all 50 states (at Federation of Tax Administrators)
- W-4 Form: Employee's Withholding Allowance Certificate for Taxes (PDF format; at www.irs.gov)

Telework Forms

- SEC-1010 - Temporary Work-At-Home Agreement (for medical accommodation) (PDF format)
- SEC-1011 - Telework Request and Agreement Form (for ad hoc and recurring telework) (PDF format)
- SEC-1012 - SEC Telework Self-Certification Safety Checklist (to attach to Telework Request and Agreement Form) (PDF format)

Training and Development

- SEC-182 - Training Request (PDF format)
- SEC-2497 - Student Loan Repayment Program: Recommendation and Approval Form (PDF format)
- SF 1164 - Claim for Reimbursement (PDF format; at GSA)

Transportation Benefits and Issues

- SEC-2407 - Authorization for 3rd Party Receipt of Public Transportation Benefit (PDF format)
- SEC-2445 - Application for Transit Benefit (PDF format)
- SEC-2501 - Application for Transit Benefit (for Field Offices with Annual Passcard Programs) (PDF format)
- WMATA Metro SmarTrip Application

Transportation Benefit Program Management

- SEC-2318 - Disbursing Agent Voucher (PDF format)
- SEC-2344 - Return/Termination Statement for Public Transport Transportation Benefit
- SEC-2416 - Annual Field Office Report for Public Transportation Benefits

- SEC-2417 - Field Office Survey Field Office Survey Questionnaire for Public Transportation Benefit
- SEC-2418 - Results of Survey for Field Office Public Transportation Benefits
- SEC-2446 - Transit Benefit Certification Form

Travel Forms

- Application for Citibank Credit Card
- Citibank Government Cardholder Dispute Form
- DS-11 - Application for a U.S. Passport or Registration (PDF format; at State Department)
- DS-19 - U.S. Passport Amendment/Validation Application (PDF format; at State Department)
- DS-82 - Application for a U.S. Passport by Mail (PDF format; at State Department)
- Foreign Travel Memorandum
- Judicial Assistance Form
- SEC-450 - Request for and Authorization of Official Travel
- SF 1012 - Travel Voucher (PDF format; at GSA) ^{NEW}
- Unusual Circumstances for Travel
- Worksheet for Determining Amount of Compensatory Time for Travel
(See also the Insider's Travel page, OIA's International Travel section, and OFM's Travel page.)