## **Request for Records Disposition Authority**

Records Schedule Number	DAA-0266-2016-0004
Schedule Status	Modified Approved Version
Agency or Establishment	Securities and Exchange Commission
Record Group / Scheduling Group	Records of the Securities and Exchange Commission
Records Schedule applies to	Agency-wide
Schedule Subject	Studies and Reports to Congress
Internal agency concurrences will be provided	No

**Background Information** 

Studies and reports to Congress which are publicly available at the time of submission and are not covered in other approved schedules.

#### **Item Count**

Number of Total Disposition Items			Number of Withdrawn Disposition Items
2	1	1	0

**GAO** Approval



#### Outline of Records Schedule Items for DAA-0266-2016-0004

Sequence Number	
1	Final Version of the Study and/or Report Disposition Authority Number: DAA-0266-2016-0004-0001
2	Studies and/or Reports Supporting Documentation Disposition Authority Number: DAA-0266-2016-0004-0002

Page 2 of 7

PDF Created on: 03/02/2017



.

## **Records Schedule Items**

Sequence Number		
1	Final Version of the Study and/or Report	
	Disposition Authority Number	DAA-0266-2016-0004-0001
	by Congress. This includes remay be issued separately fro	rsion of SEC produced studies and reports mandated eports, studies, and any reports related to studies that m the study itself. These studies and/or reports are I public at the time of submission.
	Final Disposition	Permanent
	Item Status	Inactive
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e- mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-266-09-002, item 1 N1-266-12-001, item 5
	Inactive Status Explanation	This item is inactive because it was superseded by New Disposition Authority Number: DAA-0266-2017-0003-0001
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year upon distribution to Congress and/or publication.
	Transfer to the National Archives for Accessioning	Transfer one copy of the final report to the National Archives and Records Administration (NARA) immediately after cutoff.
	Additional Information	
	First year of records accumulation	1935
	What will be the date span of the initial transfer of records to the National Archives?	From 1935 To 2015
	How frequently will your agency transfer these records to the National Archives?	Every 1 Years

**Electronic Records Archives** 

Page 3 of 7

PDF Created on: 03/02/2017

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION Request for Records Disposition Authority

T

Records Schedule: DAA-0266-2016-0004

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 GB	50 MB
Paper	10 Cubic feet	1 Cubic feet
Microform		
Hardcopy or Analog Specia Media	al	
Studies and/or Reports Sup Disposition Authority Number		
including correspondence,	er of and contributors to the stu comments, justifications and o g documentation related to the	ther background notes o
Final Disposition	Temporary	
Item Status	Inactive	
Is this item media neutral?	Yes	
Do any of the records covered	Yes	

Do any of the records covered Yes by this item currently exist in electronic format(s) other than email and word processing? Do any of the records covered Yes

by this item exist as structured electronic data?

GRS or Superseded Authority Citation

Inactive Status Explanation

. .

Disposition Instruction

**Retention Period** 

Cutoff at the end of the calendar year covered by the study and/or report.

This item is inactive because it was superseded by

Destroy 3 year(s) after cutoff

DAA-0266-2017-0003-0002

New Disposition Authority Number:

N1-266-09-002, item 2

N1-266-09-002, item 3 N1-266-12-001, item 5

Electronic Records Archives

Page 4 of 7

PDF Created on: 03/02/2017



# Additional Information

GAO Approval

Not Required

PDF Created on: 03/02/2017

## **Agency Certification**

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

#### Signatory Information

Date	Action	Ву	Title	Organization
11/18/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/18/2015	Return for Revisio n	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
11/19/2015	Submit For Certific ation	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/19/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
03/03/2016	Submit for Concur rence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
03/07/2016	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Serivces
03/07/2016	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Serivces
03/10/2016	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist

**Electronic Records Archives** 

Page 6 of 7

PDF Created on: 03/02/2017