

## Request for Records Disposition Authority

Records Schedule Number           DAA-0266-2021-0009

Schedule Status                       Approved

Agency or Establishment           Securities and Exchange Commission

Record Group / Scheduling Group   Records of the Securities and Exchange Commission

Records Schedule applies to       Major Subdivision

Major Subdivision                   Office of International Affairs

Schedule Subject                     Office of International Affairs (OIA) Case Files

Internal agency concurrences will be provided   No

Background Information           OIA promotes investor protection, cross-border securities transactions, and fair, efficient, and transparent markets by advancing international regulatory and enforcement cooperation, promoting the adoption of high regulatory standards worldwide, and formulating technical assistance programs to strengthen the regulatory infrastructure in global financial markets. To this end, OIA works with a global network of securities regulators and law enforcement authorities to facilitate cross-border regulatory compliance and help ensure that international borders are not used to escape detection and prosecution of fraudulent securities activities. Using OIA staff's understanding of international markets and foreign law and regulations, OIA provides the Commission and SEC staff with advice and assistance in international enforcement and regulatory matters.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
1	0	1	0

### GAO Approval

## Outline of Records Schedule Items for DAA-0266-2021-0009

Sequence Number	
1	<b>OIA Case Files</b> Disposition Authority Number: DAA-0266-2021-0009-0001

## Records Schedule Items

Sequence Number	
1	<p data-bbox="342 380 561 411"><b>OIA Case Files</b></p> <p data-bbox="342 432 1149 464">Disposition Authority Number      <b>DAA-0266-2021-0009-0001</b></p> <p data-bbox="342 489 1520 636">Records consist of requests for information or assistance, findings from investigations and supplemental information relevant to the request, and transmittal letters. Records are created while OIA is acting as a liaison between the Division of Enforcement and foreign entities.</p> <p data-bbox="342 657 915 688">Final Disposition                      <b>Temporary</b></p> <p data-bbox="342 709 849 741">Item Status                              <b>Active</b></p> <p data-bbox="342 762 818 793">Is this item media neutral?          <b>Yes</b></p> <p data-bbox="342 814 818 940">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p data-bbox="342 961 818 1056">Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p data-bbox="342 1077 1045 1182">GRS or Superseded Authority Citation      <b>N1-266-96-001 / 8/1 N1-266-96-001 / 8/2 N1-266-96-001 / 8/3</b></p> <p data-bbox="342 1224 659 1255"><b>Disposition Instruction</b></p> <p data-bbox="342 1276 1146 1308">Cutoff Instruction                      <b>Cut off at the close of case.</b></p> <p data-bbox="342 1329 1187 1360">Retention Period                      <b>Destroy 10 year(s) after cutoff</b></p> <p data-bbox="342 1402 656 1434"><b>Additional Information</b></p> <p data-bbox="342 1455 948 1486">GAO Approval                          <b>Not Required</b></p>

## 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	By	Title	Organization
09/30/2021	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/06/2021	Return for Revision	Esther Hidalgo	Archives Specialist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
10/06/2021	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/06/2021	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
04/01/2022	Submit for Concurrence	Esther Hidalgo	Archives Specialist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
04/05/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
04/07/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
04/07/2022	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist