

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2022-0001

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 Division of Corporation Finance

Schedule Subject Records Associated with the Review and Processing of Registration Statements, Reports, Other Filings and Amendments

Internal agency concurrences will be provided No

Background Information The Division of Corporation Finance's mission is to see that investors are provided with material information in order to make informed investment decisions - both when a company initially offers its stock to the public and on a regular basis as it continues to give information to the marketplace. The Division also provides guidance to companies on SEC rules and forms and proposes new and revised rules to the Commission.

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0266-2022-0001

Sequence Number

1

Internal Work Product Associated with the Review and Processing of Registration Statements, Reports, Other Filings and Amendments Disposition Authority Number: DAA-0266-2022-0001-0001
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Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 1521 453">Internal Work Product Associated with the Review and Processing of Registration Statements, Reports, Other Filings and Amendments</p> <p data-bbox="345 474 1521 506">Disposition Authority Number DAA-0266-2022-0001-0001</p> <p data-bbox="345 527 1521 831">Records created by the Division of Corporation Finance staff in the course of day-to-day business of processing registration statements, reports, and related filings and amendments. These files include internal background and supporting materials; screening sheets; company and review profiles; and other documentation used to track and maintain these filings. This item does not include materials related to requests for confidential treatment under Rules 406 or 24b-2 or supplemental materials requested and provided pursuant to Rules 418 or 12b-4, which are subject to their own records retention schedule.</p> <p data-bbox="345 852 1521 884">Final Disposition Temporary</p> <p data-bbox="345 905 1521 936">Item Status Active</p> <p data-bbox="345 957 1521 989">Is this item media neutral? Yes</p> <p data-bbox="345 1010 1521 1125">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p data-bbox="345 1146 1521 1251">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="345 1272 1521 1325">GRS or Superseded Authority Citation DAA-0266-2018-0004-0001</p> <p data-bbox="345 1356 1521 1388">Disposition Instruction</p> <p data-bbox="345 1419 1521 1451">Cutoff Instruction Cut off at the end of the calendar year.</p> <p data-bbox="345 1472 1521 1503">Retention Period Destroy 15 year(s) after cutoff</p> <p data-bbox="345 1545 1521 1577">Additional Information</p> <p data-bbox="345 1608 1521 1640">GAO Approval Not Required</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
10/25/2021	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/08/2021	Return for Revision	Esther Hidalgo	Archives Specialist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
11/08/2021	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/08/2021	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
09/07/2022	Submit for Concurrence	Esther Hidalgo	Archives Specialist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
09/14/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/14/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
09/14/2022	Approve	Debra Wall	Deputy Archivist	National Archives and Records Administration - ND Archives I Office