

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-266-96-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 2/9/2023

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

All items except those listed below are active

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

N1-266-96-001, item 1 is superseded by N1-266-98-001, item 4

N1-266-96-001, item 8(1) is superseded by DAA-0266-2021-0009-0001

N1-266-96-001, item 8(2) is superseded by DAA-0266-2021-0009-0001

N1-266-96-001, item 8(3) is superseded by DAA-0266-2021-0009-0001

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>N1-266-96-1</i>	
1 FROM (Agency or establishment) Security & Exchange Commission		DATE RECEIVED <i>10-05-95</i>	
2 MAJOR SUBDIVISION Office of Filings & Information Services		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U S C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION Office of International Affairs			
4 NAME OF PERSON WITH WHOM TO CONFER Suzanne L. McHugh	5 TELEPHONE 202 942-8970 X4655	DATE <i>6-18-97</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>

6 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 on the attached ____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

is not required; is attached, or has been requested.

DATE 8/21/95	SIGNATURE OF AGENCY REPRESENTATIVE <i>Suzanne L. McHugh</i>	TITLE Records Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	See Attached		

JUN 23 1997 *mmr* copy to: Agency
nwr

OFFICE OF INTERNATIONAL AFFAIRS

1 Technical Assistance Files

Files contain requests for technical assistance (TA), draft and final agreements with US AID on TA projects, SEC TA communications, project plans and reports

Arrangement By country and then by subject, chronologically

Quantity Six file drawers

Disposition Review annually Destroy when no longer needed

2 Institute Files

Files contain general information on the SEC's International Institute for Securities Market Development and on the SEC's international Enforcement Training and Market Surveillance Institute Program, including information on programs, participants, speakers, and materials

Arrangement By country and by subject

Quantity Four file drawers

Disposition

Item 1 - Permanent Subject files These consist of training materials arranged by subject used to conduct the Institute Cut off annually and place in an inactive file Transfer to WNRC when 2 years old Transfer to the National Archives when 7 years old

Item 2 - Temporary Participant files These files are arranged by country and contain information on Institute participants Destroy when no longer needed

3 International Organization and Meeting Files

Files contain reports and background information on international securities meetings in which OIA participates as part of its principal mission These include Wilton Park, Penny Stock Conference, COSRA, and IOSCO

Arrangement By subject, divided by year

Quantity Ten file drawers

Disposition

Item 1 - Temporary Selected conferences of continuing interest Cut off file at close of conference Transfer to WNRC when 5 years old Destroy when 25 years old

Item 2 - Temporary Conferences not of continuing interest Transfer to FRC one year after closing Destroy five years after conference is closed

5 Memorandum of Understanding (MOU) Files

These files contain 1)extra copies of MOUs with some background material attached, 2)work papers generated during MOU formation, 3)substantive MOU meeting reports, closing memos, and analyses

Arrangement By country
Quantity One file drawer
Disposition

Item 1 - Temporary MOU copy file contains copies of MOUs with background material
 Review annually and destroy when no longer needed

Item 2 - Temporary MOU Work papers Cutoff file after MOU has been agreed upon in writing by both parties Retire to FRC in five year blocks Destroy when earliest file is 25 years old (For example, MOU work papers 1990-94 would be retired in 1995 and destroyed in 2015)

Item 3 Temporary Substantive MOU meeting reports, closing memos and analyses Maintain in OIA Country specific files remain active until the MOU is no longer in force Destroy when no longer needed

6 Press Releases/Speech File

Files contain copies of speeches by principal OIA staff and copies of Commission speeches and press releases

Arrangement By date
Quantity ½ file drawer
Disposition Temporary Review annually Destroy when no longer needed

7 Country Files

Files contain country specific information maintained for OIA reference

Arrangement Alphabetically by country
Quantity Twenty file drawers
Disposition

Item 1- Temporary Reference These include magazine articles, brochures, clippings and other reference material originating outside OIA Review annually and destroy when no longer needed

Item 2- Temporary Correspondence These are subdivided by subject Files contain routine meeting and project correspondence Review annually and destroy when no longer needed

8 Case Files

Files contain complete case histories of OIA enforcement investigations and information requests

Arrangement By case name
Quantity Fourteen file drawers
Disposition

Item 1 - Temporary Investigative case files Cut off on close of case Transfer annually to WNRC Destroy when 25 years old

Item 2 - SEC Requests to Foreign Authorities Files contain copies of SEC information requests to foreign authorities

Arrangement Alphabetically by country
Quantity Nine file drawers
Disposition Temporary Cut off files at close of case Hold for one year after cutoff then transfer to the FRC Destroy when 15 years old

Item 3 - Foreign Requests to the SEC Files contain information requests from foreign authorities

Arrangement Alphabetically by country
Quantity Six and ½ file drawers
Disposition Temporary Cut off files at close of case Hold for one year after cutoff then transfer to the FRC Destroy when 15 years old

9 ISECA Legislative History Files

Files contain complete legislative history of the International Securities Enforcement Cooperation Act of 1990

Arrangement None
Quantity One box
Disposition Temporary Review annually Destroy when no longer needed