

### Request for Records Disposition Authority

Records Schedule Number: DAA-0266-2013-0001  
Schedule Status: Returned Without Action  
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: Chief Executive Officer (CEO) and Chief Financial Officer (CFO) Certifications to Periodic Reports (2002)  
Internal agency concurrences will be provided: No

Background Information: Handcopy submissions of supplemental certification CEO and CFO signatures accompanying periodic reports mailed to the SEC in 2002 pursuant to the Sarbanes-Oxley Act of 2002 (Pub.L. 107-204, 116 Stat. 745) NOTE: Since 2003, the certification signatures are attached as exhibits to the electronic filings, and are covered by job number N1-066-06-2, 3a.

#### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Returned Without Action

Outline of Records Schedule Items for DAA-0266-2013-0001

Sequence Number

1

Chief Executive Officer (CEO) and Chief Financial Officer (CFO) Certifications to Periodic Reports (2002)

Disposition Authority Number: DAA-0266-2013-0001-0001

**Returned Without Action**

Records Schedule Items

Sequence Number		
1	<p>Chief Executive Officer (CEO) and Chief Financial Officer (CFO) Certifications to Periodic Reports (2002)</p> <p>Disposition Authority Number      DAA-0266-2013-0001-0001</p> <p>Hardcopy submissions of supplemental certification CEO and CFO signatures accompanying periodic reports mailed to the SEC in 2002, pursuant to the Sarbanes-Oxley Act of 2002 (Pub.L. 107-204, 116 Stat. 745). NOTE: Since 2003, the certification signatures are attached as exhibits to the electronic filings, and are covered by job number N1-60-91-1, item 9a.</p> <p>Final Disposition                      Permanent</p> <p>Item Status                              Withdrawn</p> <p>Is this item media neutral?          No</p> <p>Explanation of limitation            Paper</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      No</p> <p>Disposition Instruction</p> <p>Transfer to Inactive Storage          Accession to the National Archives and Records Administration immediately upon approval of this schedule.</p> <p>Transfer to the National Archives for Accessioning      Transfer to the National Archives immediately after approval of this schedule.</p> <p>Additional Information</p> <p>First year of records accumulation    2002</p> <p>End year of records accumulation    2002</p> <p>What will be the date span of the initial transfer of records to the National Archives?      From 2002 To 2002</p> <p>How frequently will your agency transfer these records to the National Archives?      Unknown One-time accession, only.</p>	
	Estimated Current Volume	Annual Accumulation
Electronic/Digital		

Returned Without Action

Paper	7 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

**Returned Without Action**

### 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
03/18/2013	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/22/2014	Return Without Action	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services

Returned Without Action