

WITHDRAWN RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: **DAA-0266-2013-0005**

Request for Records Disposition Authority

Records Schedule Number: DAA-0266-2013-0005
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: Major Subdivision
Major Subdivision: Office of Support Operations
Minor Subdivision: Office of Records Management Services
Schedule Subject: Registration Statements and Related Items Pursuant to the Securities Act of 1933, Securities Exchange Act of 1934, and Investment Company Act of 1940

Internal agency concurrences will be provided: No

Background Information

The mission of the U.S. Securities and Exchange Commission (SEC) is to protect investors, maintain fair, orderly, and efficient markets, and facilitate capital formation. A primary means of accomplishing this mission is the disclosure of important company information through the registration of securities. Companies register securities with SEC under the Securities Act of 1933, Securities Exchange Act of 1934, and the Investment Company Act of 1940. The registrations provide essential facts and historical information, including:

- Description of the company's properties and business;
- Description of the security to be offered for sale;
- Information about the management of the company;
- Financial statements certified by independent accountants; and
- Background of the company's formation and various assets

The information contained in these statements is indefinitely valuable to protect the legal and financial rights of the investors, financial institutions, Governments, and other entities affected by the related activities. These registrations have long term legal and historical value; because, their information is often used decades later to investigate and litigate major securities fraud and scandals.

This schedule covers related documents to 1933 Act and 1934 Act Registrations previously or currently identified by the suffix tertiaryes, -1; -3; -4, and; -5.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
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GAO Approval

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Outline of Records Schedule Items for DAA-0266-2013-0005

Sequence Number

1	Registration Statements and Related Items Pursuant to the Securities Act of 1933, Securities Exchange Act of 1934, and Investment Company Act of 1940 not captured in the Evaluation, Data Gathering, Analysis, Evaluation and Retrieval (EDGAR) System. Disposition Authority Number: DAA-0266-2013-0005-0001
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Records Schedule Items

Sequence Number										
1	<p>Registration Statements and Related Items Pursuant to the Securities Act of 1933, Securities Exchange Act of 1934, and Investment Company Act of 1940 not captured in the Evaluation, Data Gathering, Analysis, Evaluation and Retrieval (EDGAR) System.</p> <p>Disposition Authority Number DAA-0266-2013-0005-0001</p> <p>The records covered by this series include: -Notifications of registration - Registration statements and amendments thereto -Effectiveness orders - Withdrawals -Abandonment orders -Stop orders -Comment letters -Other related correspondence</p> <p>Final Disposition Permanent</p> <p>Item Status Withdrawn</p> <p>Is this item media neutral? Yes</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>GRS or Superseded Authority Citation NC1/266/77/2/1a,1b, NC1/266/83/5/1a, 8a and 12</p> <p>Disposition Instruction</p> <p>Transfer to the National Archives for Accessioning PERMANENT. Transfer to the National Archives and Records Administration (NARA) when 30 years old.</p> <p>Additional Information</p> <p>First year of records accumulation 1934</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 1934 To 1972</p> <p>How frequently will your agency transfer these records to the National Archives? Every 1 Years</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;"></th> <th style="width: 25%;">Estimated Current Volume</th> <th style="width: 25%;">Annual Accumulation</th> </tr> </thead> <tbody> <tr> <td>Electronic/Digital</td> <td></td> <td></td> </tr> <tr> <td>Paper</td> <td>7673 Cubic feet</td> <td></td> </tr> </tbody> </table>		Estimated Current Volume	Annual Accumulation	Electronic/Digital			Paper	7673 Cubic feet	
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Microform		
Hardcopy or Analog Special Media		

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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
08/22/2013	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/26/2014	Return for Revision	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
11/26/2014	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/26/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/08/2015	Return Without Action	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services

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