

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2014-0001
Schedule Status Modified Approved Version

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 Confidential Treatment Request (CTR) Materials
Internal agency concurrences will be provided No

Background Information Confidential Treatment Request (CTR) Materials

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	1	1	0

GAO Approval

Outline of Records Schedule Items for DAA-0266-2014-0001

Sequence Number	
1	Unredacted Exhibits Disposition Authority Number: DAA-0266-2014-0001-0001
2	Supplemental Materials Disposition Authority Number: DAA-0266-2014-0001-0002

Records Schedule Items

Sequence Number								
1	<p>Unredacted Exhibits</p> <p>Disposition Authority Number DAA-0266-2014-0001-0001</p> <p>Unredacted exhibits in documents required to be filed under the Securities Act of 1933 and Securities Exchange Act of 1934 submitted with confidential treatment requests pursuant to 17 CFR 230.406 or 17 CFR 240.24b-2 and related Commission Orders.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</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? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>GRS or Superseded Authority Citation N1-266-98-001, Item 007</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff at the end of the calendar year after the last expiration date on the order.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff</p> <p>Additional Information</p> <p>First year of records accumulation 1984</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 1984 To 2001</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: 40%;"></th> <th style="width: 30%;">Estimated Current Volume</th> <th style="width: 30%;">Annual Accumulation</th> </tr> </thead> <tbody> <tr> <td>Electronic/Digital</td> <td style="text-align: center;">10 GB</td> <td style="text-align: center;">500 MB</td> </tr> </tbody> </table>			Estimated Current Volume	Annual Accumulation	Electronic/Digital	10 GB	500 MB
	Estimated Current Volume	Annual Accumulation						
Electronic/Digital	10 GB	500 MB						

Paper		
Microform		
Hardcopy or Analog Special Media		

2

Supplemental Materials

Disposition Authority Number DAA-0266-2014-0001-0002

Materials, other than unredacted exhibits, submitted with confidential treatment requests pursuant to 17 CFR 230.406 or 17 CFR 240.24b-2 and staff work products created during the processing of the requests.

Final Disposition Temporary

Item Status Inactive

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation N1-266-98-001, Item 007

Inactive Status Explanation This item is inactive because it was superseded by New Disposition Authority Number: DAA-0266-2016-0001-0001

Disposition Instruction

Cutoff Instruction Cutoff at the end of the calendar year after the last expiration date on the order.

Retention Period Destroy 3 year(s) after cutoff or 3 year(s) after the issuance date of the order occurs, whichever is later

Additional Information

GAO Approval Not Required

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
02/05/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/27/2014	Return for Revision	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
11/06/2014	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/06/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/10/2014	Return for Revision	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
01/07/2015	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/07/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
06/11/2015	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
06/17/2015	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
06/17/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services

09/23/2015	Submit for Concurrency	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
10/14/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/14/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/16/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist