

## Request for Records Disposition Authority

Records Schedule Number      **DAA-0266-2014-0010**

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        **Agency-wide**

Schedule Subject                      **SEC Audiovisual Records**

Internal agency concurrences will  
be provided                              **No**

Background Information                **Records that document significant moments in the Securities and Exchange Commission's (SEC's) history and/or noteworthy SEC accomplishments, and records that were made to assist SEC offices and divisions in performing more routine functions. EXCLUDING audiovisual records of subject matters specifically described in other NARA-approved records series items (e.g., enforcement and investigative case files, etc.). This schedule also excludes recordings of proceedings of Presidential commissions. Such records are usually appraised as permanent, and they must be described on an SF 115 submitted to NARA for final disposition approval.**

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
<b>3</b>	<b>3</b>	<b>0</b>	<b>0</b>

### GAO Approval

## Outline of Records Schedule Items for DAA-0266-2014-0010

Sequence Number	
1	Historically Significant Photographs
1.1	Digital Photographs Disposition Authority Number: DAA-0266-2014-0010-0001
1.2	Non-Digital Photographs Disposition Authority Number: DAA-0266-2014-0010-0002
2	Historically Significant Video Recordings and Related Documentation Disposition Authority Number: DAA-0266-2014-0010-0003

## Records Schedule Items

Sequence Number	
1	<p><b>Historically Significant Photographs</b> Photographs documenting historically significant activities related to the mission of the SEC which business purpose is not described in other approved SEC-schedules, such as SEC open meetings and events and activities attended by the SEC Chair, Commissioners, and senior staff. This item covers negatives, printed black and white and color copies and contact sheets, negatives, and digital images, with any accompanying system documentation and any electronic finding aids for digital images.</p>
1.1	<p><b>Digital Photographs</b></p> <p>Disposition Authority Number      <b>DAA-0266-2014-0010-0001</b></p> <p>Final Disposition                      <b>Permanent</b></p> <p>Item Status                                <b>Active</b></p> <p>Is this item media neutral?            <b>No</b></p> <p>Explanation of limitation              <b>Digital Photographs</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                              <b>No</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        <b>Cut off at the end of the calendar year in which the event occurs.</b></p> <p>Transfer to the National Archives for Accessioning      <b>Transfer to the National Archives and Records Administration (NARA) 5 years after cutoff, in accordance with 36 CFR 1228.270, or subsequent authority for electronic records transfer requirement.</b></p> <p><b>Additional Information</b></p> <p>First year of records accumulation      <b>2000</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?                      <b>Unknown To be determined.</b></p>

How frequently will your agency transfer these records to the National Archives? **Unknown  
To be determined.**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	930 GB	75 GB
Paper		
Microform		
Hardcopy or Analog Special Media		

1.2

**Non-Digital Photographs**

Disposition Authority Number **DAA-0266-2014-0010-0002**

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **Non-digital photographs**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

**Disposition Instruction**

Transfer to the National Archives for Accessioning **Transfer all remaining non-digital photographs immediately to NARA.**

**Additional Information**

First year of records accumulation **1934**

What will be the date span of the initial transfer of records to the National Archives? **From 1934 To 2007**

How frequently will your agency transfer these records to the National Archives? **Unknown  
One-time transfer. If straggling non-digital photographs are found after initial transfer, they will be offered to NARA as they are discovered.**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	5 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

2

**Historically Significant Video Recordings and Related Documentation**

Disposition Authority Number **DAA-0266-2014-0010-0003**

Records that document significant moments in the SEC's history and/or noteworthy SEC accomplishments, such as SEC open meetings and events and activities attended by the SEC Chair, Commissioners, and senior staff. They may be accompanied by written documentation, descriptive information about the related audiovisual records, (e.g., title/subject, name and date).

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **No**

Explanation of limitation **Video Recordings**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **No**

**Disposition Instruction**

Cutoff Instruction **Cut off at the end of the calendar year in which the event occurs.**

Transfer to the National Archives for Accessioning **Transfer master recording and related documentation to NARA 5 years after cutoff.**

**Additional Information**

First year of records accumulation **2001**

What will be the date span of the initial transfer of records to the National Archives? **Unknown  
To be determined**

How frequently will your agency transfer these records to the National Archives? **Unknown**  
**To be determined**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper		
Microform		
Hardcopy or Analog Special Media	1 cubic foot	

## 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
07/03/2014	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
10/28/2014	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/28/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/28/2014	Return for Revision	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
10/29/2014	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/29/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/13/2014	Return for Revision	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
11/14/2014	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/14/2014	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services

03/17/2015	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
03/23/2015	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
03/23/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
08/27/2015	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
08/27/2015	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
08/27/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
09/23/2015	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
10/01/2015	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
10/02/2015	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
10/05/2015	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist