

## Request for Records Disposition Authority

Records Schedule Number           DAA-0266-2016-0002  
 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       Major Subdivision  
 Major Subdivision                 Office of the Secretary  
 Schedule Subject                 Records of the Office of the Secretary  
 Internal agency concurrences will be provided   No

Background Information            The Secretary of the Commission is responsible for the preparation of the agendas of Commission business; the maintenance of the official minute record of all actions of the Commission; and the service of all instruments of formal Commission action. The Secretary is custodian of the official seal of the Commission, and also has the responsibility for authenticating documents. (17 CFR 200.13a(a)).

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
9	3	6	0

GAO Approval

## Outline of Records Schedule Items for DAA-0266-2016-0002

Sequence Number	
1	Records of Official Minutes of Commission Meetings and Actions Disposition Authority Number: DAA-0266-2016-0002-0001
2	Commission Meeting Audio Recordings Disposition Authority Number: DAA-0266-2016-0002-0002
3	Commission Orders Disposition Authority Number: DAA-0266-2016-0002-0003
4	Advice and Information Memoranda, and Briefing Materials Disposition Authority Number: DAA-0266-2016-0002-0004
5	Administrative Proceedings Files Disposition Authority Number: DAA-0266-2016-0002-0005
6	Service Receipt Signature Cards Disposition Authority Number: DAA-0266-2016-0002-0006
7	Administrative Proceedings Periodic Reports Disposition Authority Number: DAA-0266-2016-0002-0007
8	Studies and Roundtables Disposition Authority Number: DAA-0266-2016-0002-0008
9	Notice of Self-Regulatory Organization Decision Disposition Authority Number: DAA-0266-2016-0002-0009

Records Schedule Items

Sequence Number  
  
1

**Records of Official Minutes of Commission Meetings and Actions**

Disposition Authority Number      DAA-0266-2016-0002-0001

Official minutes of Commission meetings, (open, closed, and executive session), seriatim and duty officer actions since its establishment. Files may include minutes, transcripts, record of votes, action memoranda, opinions of the Commission, minutes index, and other supporting documentation.

Final Disposition                      Permanent

Item Status                              Active

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      NC1-266-77-002 / 88 (partial) Commission Meeting Minutes

**Disposition Instruction**

Cutoff Instruction                      Cut off at the end of the calendar year.

Transfer to the National Archives for Accessioning      Transfer to the National Archives 15 year(s) after cutoff

**Additional Information**

First year of records accumulation      2007

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

How frequently will your agency transfer these records to the National Archives?      Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	20 GB	10 GB
Paper	150 Cubic feet	

Microform		
Hardcopy or Analog Special Media		

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**Commission Meeting Audio Recordings**

Disposition Authority Number      **DAA-0266-2016-0002-0002**

**Audio recordings of Commission meetings (open, closed, executive session).**

Final Disposition                      **Permanent**

Item Status                              **Active**

Is this item media neutral?          **No**

Explanation of limitation            **Analog (1977-2006) and digital (2005-present) recordings**

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?                      **No**

**Disposition Instruction**

Cutoff Instruction                      **Cut off at the end of the calendar year.**

Transfer to the National Archives for Accessioning      **Transfer to the National Archives 15 year(s) after cutoff**

**Additional Information**

First year of records accumulation      **1977**

What will be the date span of the initial transfer of records to the National Archives?      **From 1977 To 2001**

How frequently will your agency transfer these records to the National Archives?      **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
<b>Electronic/Digital</b>	<b>84 GB</b>	<b>7 GB</b>
<b>Paper</b>		

Microform		
Hardcopy or Analog Special Media	9000 cassette tapes	

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**Commission Orders**

Disposition Authority Number      DAA-0266-2016-0002-0003

Orders issued by and for the Commission. Orders issued "for the Commission" are issued under various delegated authority.

Final Disposition                      Permanent

Item Status                                Active

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      NC1-266-77-002 / 88 (partial) Commission Orders and Opinions

**Disposition Instruction**

Cutoff Instruction                        Cut off at the end of the calendar year

Transfer to the National Archives for Accessioning      Transfer to the National Archives 15 year(s) after cutoff

**Additional Information**

First year of records accumulation      1935

What will be the date span of the initial transfer of records to the National Archives?      From 1935 To 2001

How frequently will your agency transfer these records to the National Archives?      Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		3 GB

Paper	10 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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**Advice and Information Memoranda, and Briefing Materials**

Disposition Authority Number      **DAA-0266-2016-0002-0004**

Advice memoranda are used by staff to inform and gain the concurrence of the Commission regarding impending action staff intend to take by delegated authority or other action previously authorized by the Commission. Information memoranda are used by divisions/offices to inform the Commission of an event that has occurred. Briefings are presentations to the Commission by agency staff for informational purposes. Files may include memoranda, presentations, recordings, and publications. These materials are not included in Commission meeting minutes files.

Final Disposition                      **Temporary**

Item Status                              **Active**

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**

**Disposition Instruction**

Cutoff Instruction                      **Cut off at the end of the calendar year.**

Retention Period                        **Destroy 30 year(s) after cutoff**

**Additional Information**

GAO Approval                            **Not Required**

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**Administrative Proceedings Files**

Disposition Authority Number      **DAA-0266-2016-0002-0005**

Administrative proceedings are enforcement proceedings before an SEC administrative law judge or the Commission. All administrative proceedings are

reviewed and issued by the Office of the Secretary. Files include orders, pleadings, offers of settlement, disgorgement and disbursement orders, and correspondence.

Final Disposition Temporary

Item Status Active

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 NC1-266-77-002 / 76  
NC1-266-77-002 / 78  
NC1-266-77-002 / 80

**Disposition Instruction**

Cutoff Instruction Cut off at the end of the calendar year in which the case closes.

Retention Period Destroy 30 year(s) after cutoff

**Additional Information**

GAO Approval Not Required

**Service Receipt Signature Cards**

Disposition Authority Number DAA-0266-2016-0002-0006

Certified mail signature receipt cards other than those associated with administrative proceedings service of orders to initiate proceedings (OIPs) and final orders. Signature receipt cards associated with OIPs and final orders are filed with the administrative proceedings files.

Final Disposition Temporary

Item Status Active

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

**Disposition Instruction**

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Cutoff Instruction                      Cut off at the end of the calendar year.

Retention Period                        Destroy 5 year(s) after cutoff

**Additional Information**

GAO Approval                            Not Required

**Administrative Proceedings Periodic Reports**

Disposition Authority Number        DAA-0266-2016-0002-0007

The Office of the Secretary is required to periodically provide the Commission with status reports of all filed adjudicatory proceedings (17 CFR 201.900(b)). Reports include information provided by the Office of the Administrative Law Judges and the Office of the General Counsel. The Commission establishes the frequency of the report.

Final Disposition                        Temporary

Item Status                                Active

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

**Disposition Instruction**

Cutoff Instruction                        Cut off at the end of the calendar year.

Retention Period                        Destroy 10 year(s) after cutoff

**Additional Information**

GAO Approval                            Not Required

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**Studies and Roundtables**

Disposition Authority Number        DAA-0266-2016-0002-0008

Studies and roundtables, unrelated to Federal Advisory Committees, directed and authorized by the Commission as a whole or Commissioner(s) individually on topics related to the mission and/or administration of the agency.

Final Disposition                        Temporary

Item Status                                Active

Is this item media neutral?            Yes

Do any of the records covered by this item currently exist in        Yes

	electronic format(s) other than e-mail and word processing?	
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-266-77-002 / 79 (partial) Miscellaneous studies or investigations authorized by the Commission; petitions and/or requests for exemption from rules or regulations for which no specific procedures are provided
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off when project completed.
	Retention Period	Destroy 30 year(s) after cutoff
	<b>Additional Information</b>	
	GAO Approval	Not Required
9	<b>Notice of Self-Regulatory Organization Decision</b>	
	Disposition Authority Number	DAA-0266-2016-0002-0009
	Notification to SEC from Self-Regulatory Organizations (SROs) of SRO decision in disciplinary actions made by the SRO. Upon appeal by respondent to SEC of SRO decision, SRO notification becomes part of the subsequent administrative proceeding (3-) file as described in DAA-266-2016-0002-0005.	
	Final Disposition	Temporary
	Item Status	Active
	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
	<b>Disposition Instruction</b>	
	Cutoff Instruction	Cut off at the end of the calendar year.
	Retention Period	Destroy 3 year(s) after cutoff
	<b>Additional Information</b>	
	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
11/16/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/03/2016	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
11/04/2016	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/04/2016	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/11/2018	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
01/19/2018	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/19/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
03/06/2018	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
03/06/2018	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
03/06/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services

05/07/2018	Submit for Concurrency	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
05/17/2018	Concur	Rachel BanTonkin	Supervisory Archives Specialist	National Archives and Records Administration - ACR1
05/21/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/22/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist