

WITHDRAWN - RETURN WITHOUT ACTION

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2016-0007
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 SEC Filings, Applications, Exemptions and Submissions Processing - Microfiche
Internal agency concurrences will be provided No

Background Information The securities rules require that entities conducting business in the securities industry register with the SEC by filing a registration statement. After the entities are registered, they must file additional disclosure, financial and other information with the SEC. Registrants include: issuers of securities in registered transactions, reporting companies, investment companies, investment advisers, transfer agents, broker-dealers, self-regulatory organizations (exchanges, clearing agencies, MSRB, and FINRA). In addition, certain entities must file other submissions for approval, comment, or some other action by the Commission.

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of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

WITHDRAWN - RETURN WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0266-2016-0007

Outline of Records Schedule Items for DAA-0266-2016-0007

Sequence Number

1

Microfiche Copies of Disclosure and Regulated Entity Filings; Issuers/Publicly Traded Companies: Disposition Authority Number: DAA-0266-2016-0007-0001

WITHDRAWN - RETURN WITHOUT ACTION

WITHDRAWN - RETURN WITHOUT ACTION

Records Schedule Items

Sequence Number	
1	<p data-bbox="396 406 1463 480">Microfiche Copies of Disclosure and Regulated Entity Filings; Issuers/Publicly Traded Companies:</p> <p data-bbox="396 497 1182 532">Disposition Authority Number DAA-0266-2016-0007-0001</p> <p data-bbox="396 551 1542 883">Filings maintained on microfiche of received and reviewed for rule compliance and completeness of the filing information. Includes support provided and comments to the filer as appropriate and recording and tracking data with respect to these filings. Also includes a complete review and/or approval or disapproval of the filings that have been submitted to the SEC. Registration Statements, Periodic Reports, Amendments, Fixing Orders, Applications for Exemption, and Notices required by the: Securities Act of 1933, Securities and Exchange Act of 1934, Investment Company Act of 1940, Investment Advisers Act of 1940, National Securities Exchange Registrations, and Municipal Securities Rulemaking Board.</p> <p data-bbox="396 900 959 934">Final Disposition Permanent</p> <p data-bbox="396 951 950 985">Item Status Withdrawn</p> <p data-bbox="396 1002 845 1036">Is this item media neutral? No</p> <p data-bbox="396 1053 945 1087">Explanation of limitation Microfiche</p> <p data-bbox="396 1104 845 1232">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 data-bbox="396 1249 1211 1840">GRS or Superseded Authority Citation NC1-266-77-002 / 1a NC1-266-77-002 / 2 (in part) NC1-266-77-002 / 66 (in part) NC1-266-82-003 / 1a (in part) NC1-266-83-004 / 6 NC1-266-83-004 / 7f (in part) NC1-266-83-005 / 1a (in part) NC1-266-83-005 / 8 NC1-266-83-005 / 12 (in part) N1-266-91-001 / 8 N1-266-91-001 / 9 N1-266-91-001 / 10 N1-266-91-001 / 11 N1-266-91-001 / 23 (in part) N1-266-91-001 / 35 (in part) N1-266-94-002 / 1a</p> <p data-bbox="396 1874 702 1908">Disposition Instruction</p>

WITHDRAWN - RETURN WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0266-2016-0007

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
12/17/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/08/2016	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
12/08/2016	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/08/2016	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/12/2016	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
12/12/2016	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/12/2016	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/14/2016	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
12/14/2016	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/14/2016	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services

WITHDRAWN - RETURN WITHOUT ACTION

WITHDRAWN - RETURN WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0266-2016-0007

09/14/2018	Return Without Action	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
------------	-----------------------	-------------	---------------------	--

WITHDRAWN - RETURN WITHOUT ACTION