

### Request for Records Disposition Authority

Records Schedule Number      DAA-0266-2017-0003

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                      Studies and Reports to Congress

Internal agency concurrences will be provided      No

Background Information              Studies and reports to Congress which are publicly available at the time of submission and are not covered in other approved schedules.

#### 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0266-2017-0003

Sequence Number	
1	Final Version of the Study and/or Report Disposition Authority Number: DAA-0266-2017-0003-0001
2	Studies and/or Reports Supporting Documentation Disposition Authority Number: DAA-0266-2017-0003-0002

## Records Schedule Items

Sequence Number								
1	<p><b>Final Version of the Study and/or Report</b></p> <p>Disposition Authority Number      DAA-0266-2017-0003-0001</p> <p>Record copies of the final version of SEC produced studies and reports mandated by Congress. This includes reports, studies, and any reports related to studies that may be issued separately from the study itself. These studies and/or reports are made available to the general public at the time of submission.</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GRS or Superseded Authority Citation      DAA-0266-2016-0004-0001</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cut off at the end of the calendar year upon distribution to Congress and/or publication.</p> <p>Transfer to the National Archives for Accessioning      Transfer one copy of the final report to the National Archives and Records Administration (NARA) immediately after cutoff.</p> <p><b>Additional Information</b></p> <p>First year of records accumulation      1935</p> <p>What will be the date span of the initial transfer of records to the National Archives?      From 1935 To 2015</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 style="text-align: center;">5 GB</td> <td style="text-align: center;">50 MB</td> </tr> </tbody> </table>			Estimated Current Volume	Annual Accumulation	Electronic/Digital	5 GB	50 MB
	Estimated Current Volume	Annual Accumulation						
Electronic/Digital	5 GB	50 MB						

Paper	10 Cubic feet	1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

2

**Studies and/or Reports Supporting Documentation**

Disposition Authority Number      DAA-0266-2017-0003-0002

Working files of the compiler of and contributors to the studies and/or reports, including correspondence, comments, justifications and other background notes or working files and supporting documentation related to the preparation of the study/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

GRS or Superseded Authority Citation      DAA-0266-2016-0004-0002

**Disposition Instruction**

Cutoff Instruction                      Cutoff at the end of the calendar year covered by the study and/or report.

Retention Period                      Destroy between 3 year(s) and 15 year(s) after cutoff

**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
01/18/2017	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
02/24/2017	Submit for Concur rence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
02/24/2017	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Services
02/24/2017	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Services
02/27/2017	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist