

# WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: DAA-0266-2017-0004

## Request for Records Disposition Authority

Records Schedule Number	DAA-0266-2017-0004
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	Electronic Data Gathering, Analysis, and Retrieval (EDGAR) System
Internal agency concurrences will be provided	No

### Background Information

The Electronic Data Gathering, Analysis, and Retrieval system is designed to perform automated collection, validation, indexing, acceptance, and dissemination of submissions sent to the SEC in electronic format. The filing community prepares and transmits filings, correspondence, and other material in electronic format through a specially designed EDGAR software package or third party software applications. Some form types can be completed online using a dedicated EDGAR website. The EDGAR system supports the transmission of filings not completed online via dial-up modem, internet or dedicated telecommunication line. It then validates that the required header information and documents are present. After filings are accepted by the EDGAR system they are disseminated to subscribers who pay for the data stream and to the SEC's Public Site. This, seconds after filings are received, investors from around the world can view the company's submissions and make investment decisions with timely information.

After filings have been accepted, the EDGAR system distributes each filing to the appropriate division and offices for review. Through an internal workflow system, EDGAR assists the SEC staff in performing analysis and review tasks. For these divisions, EDGAR also supports the dissemination of SEC produced work products, private filer documents, and effectiveness notices. Non-reviewing divisions can do research on submissions and get notifications of the receipt of submissions in support of their missions.

There are continuing legal and business needs for the SEC to provide the public with access to a complete, easily searchable, consolidated database of current and historical filings on EDGAR based on the SEC's investor protection mandate, investor use of EDGAR, filer practices, and the unique features of EDGAR. The SEC has identified

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access to investment information by investors as the core concept of the laws and rules that govern the securities industry.

## 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

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## Outline of Records Schedule Items for DAA-0266-2017-0004

Sequence Number
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1
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Master Files, Public Data
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Disposition Authority Number: DAA-0266-2017-0004-0001
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## Records Schedule Items

Sequence Number											
1	<p><b>Master Files, Public Data</b></p> <p>Disposition Authority Number      DAA-0266-2017-0004-0001</p> <p><b>EDGAR data that are accepted and disseminated publicly including SEC work product or other private data that have become eligible for public dissemination under the FOIA rules.</b></p> <p>Final Disposition                      Permanent</p> <p>Item Status                                Withdrawn</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      N1-266-96-2 / 3 / a</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                        Cutoff when no longer needed for agency business use.</p> <p>Transfer to the National Archives for Accessioning      Transfer to the National Archives immediately after cutoff.</p> <p><b>Additional Information</b></p> <p>What will be the date span of the initial transfer of records to the National Archives?      Unknown Date span of initial transfer cannot be determined at this time.</p> <p>How frequently will your agency transfer these records to the National Archives?      Unknown Frequency of transfers cannot be determined at this time.</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;">7 TB</td> <td style="text-align: center;">1 TB</td> </tr> <tr> <td>Paper</td> <td></td> <td></td> </tr> </tbody> </table>			Estimated Current Volume	Annual Accumulation	Electronic/Digital	7 TB	1 TB	Paper		
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Microform		
Hardcopy or Analog Special Media		

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## 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
02/02/2017	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
06/13/2018	Return Without Action	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services