

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2018-0004
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 The Division of Corporation Finance
Schedule Subject Registration Statement and Periodic Report Internal Work Products
Internal agency concurrences will be provided No

Background Information The Division of Corporation Finance's mission is to see that investors are provided with material information in order to make informed investment decisions - both when a company initially offers its stock to the public and on a regular basis as it continues to give information to the marketplace. The Division also provides guidance to companies on SEC rules and forms and proposes new and revised rules to the Commission.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
1	0	1	0

GAO Approval

Outline of Records Schedule Items for DAA-0266-2018-0004

Sequence Number	
1	Registration Statement and Periodic Report Internal Work Products Disposition Authority Number: DAA-0266-2018-0004-0001

Records Schedule Items

Sequence Number	
1	<p data-bbox="349 414 1481 457">Registration Statement and Periodic Report Internal Work Products</p> <p data-bbox="349 457 1481 500">Disposition Authority Number DAA-0266-2018-0004-0001</p> <p data-bbox="349 500 1481 744">These records are created by the Division of Corporation Finance (CorpFin) staff during the course of the day-to-day business reviewing, supporting and maintaining registration statements, periodic reports, and other related filings. These files include, but are not limited to, internal background, support, and supplemental materials; screening sheets; company and review profiles; and other documentation used to track and maintain these filings.</p> <p data-bbox="349 744 1481 798">Final Disposition Temporary</p> <p data-bbox="349 798 1481 851">Item Status Active</p> <p data-bbox="349 851 1481 904">Is this item media neutral? Yes</p> <p data-bbox="349 904 1481 1042">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 data-bbox="349 1042 1481 1159">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="349 1159 1481 1212">Disposition Instruction</p> <p data-bbox="349 1212 1481 1276">Cutoff Instruction Cut off at the end of the calendar year.</p> <p data-bbox="349 1276 1481 1330">Retention Period Destroy 5 year(s) after cutoff</p> <p data-bbox="349 1330 1481 1383">Additional Information</p> <p data-bbox="349 1383 1481 1464">GAO Approval Not Required</p>

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
01/26/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
06/26/2018	Submit for Concur rence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
06/29/2018	Concur	Rachel BanTonkin	Supervisory Archive s Specialist	National Archives and Records Administration - ACR1
07/03/2018	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Services
07/14/2018	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist