

# INACTIVE – ALL ITEMS SUPERSEDED

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: **DAA-0266-2018-0004**

## Request for Records Disposition Authority

Records Schedule Number DAA-0266-2018-0004

Schedule Status Modified Approved Version

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of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

# INACTIVE – ALL ITEMS SUPERSEDED

# INACTIVE – ALL ITEMS SUPERSEDED

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: **DAA-0266-2018-0004**

## 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

# INACTIVE – ALL ITEMS SUPERSEDED

# INACTIVE – ALL ITEMS SUPERSEDED

## Records Schedule Items

Sequence Number	
1	<p><b>Registration Statement and Periodic Report Internal Work Products</b></p> <p>Disposition Authority Number      DAA-0266-2018-0004-0001</p> <p>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>Final Disposition                      Temporary</p> <p>Item Status                              Inactive</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>Inactive Status Explanation          This item is inactive because it was superseded by New Disposition Authority Number: DAA-0266-2022-0001-0001</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cut off at the end of the calendar year.</p> <p>Retention Period                        Destroy 5 year(s) after cutoff</p> <p><b>Additional Information</b></p> <p>GAO Approval                            Not Required</p>

# INACTIVE – ALL ITEMS SUPERSEDED

# INACTIVE – ALL ITEMS SUPERSEDED

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: **DAA-0266-2018-0004**

## 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 Concurrency	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
06/29/2018	Concur	Rachel BanTonkin	Supervisory Archives Specialist	National Archives and Records Administration - ACR1
07/03/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/14/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

# INACTIVE – ALL ITEMS SUPERSEDED