

Request for Records Disposition Authority

Records Schedule Number **DAA-0266-2018-0005**
 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 **Division of Trading and Markets**
 Schedule Subject **Advice and Opinions**
 Internal agency concurrences will be provided **No**

Background Information **The Division of Trading and Markets (TM) establishes and maintains standards for fair, orderly, and efficient markets. It regulates the major securities market participants, including broker-dealers, self-regulatory organizations (such as stock exchanges, FINRA, and clearing agencies), and transfer agents. Part of the responsibilities of TM is providing legal and advisory services to the other SEC offices and divisions regarding its investigations and litigation that involve potential violations of the Exchange Act, as well as certain provisions of the Securities Act, and the rules and regulations thereunder.**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	0	2	0

GAO Approval

Outline of Records Schedule Items for DAA-0266-2018-0005

Sequence Number	
1	Advice and Opinion Records Disposition Authority Number: DAA-0266-2018-0005-0001
2	Supporting Documentation and Background Materials Disposition Authority Number: DAA-0266-2018-0005-0002

Records Schedule Items

Sequence Number	
1	<p data-bbox="362 417 756 446">Advice and Opinion Records</p> <p data-bbox="362 470 1143 500">Disposition Authority Number DAA-0266-2018-0005-0001</p> <p data-bbox="362 523 1455 702">Records include correspondence, memoranda, testimony, reports, studies, decisions, and related records that document the legal advice and opinions provided by the Division to internal SEC client offices and divisions pertaining to proposed and existing statutes, regulations, rules, and programs that Division clients are charged with administering and enforcing.</p> <p data-bbox="362 725 919 755">Final Disposition Temporary</p> <p data-bbox="362 778 854 808">Item Status Active</p> <p data-bbox="362 832 821 861">Is this item media neutral? Yes</p> <p data-bbox="362 885 821 1000">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="362 1023 821 1108">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="362 1144 667 1174">Disposition Instruction</p> <p data-bbox="362 1198 1433 1270">Cutoff Instruction Cut off at the end of the calendar when the file is closed or becomes inactive.</p> <p data-bbox="362 1293 1179 1323">Retention Period Destroy 15 year(s) after cutoff</p> <p data-bbox="362 1364 662 1393">Additional Information</p> <p data-bbox="362 1417 951 1447">GAO Approval Not Required</p>
2	<p data-bbox="362 1481 1097 1510">Supporting Documentation and Background Materials</p> <p data-bbox="362 1534 1143 1564">Disposition Authority Number DAA-0266-2018-0005-0002</p> <p data-bbox="362 1587 1411 1723">Records of analysis and support materials drawn from internal and external sources used in producing the work products described in DAA-0266-2018-0005-0001. Records include drafts, notes, memoranda, and background and reference materials.</p> <p data-bbox="362 1747 919 1776">Final Disposition Temporary</p> <p data-bbox="362 1800 854 1830">Item Status Active</p> <p data-bbox="362 1853 821 1883">Is this item media neutral? Yes</p>

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**

Disposition Instruction

Cutoff Instruction **Cut off at the end of the calendar year when the related file is closed or becomes inactive.**

Retention Period **Destroy 3 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
04/04/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
06/05/2019	Submit for Concur rence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
06/07/2019	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Services
06/07/2019	Concur	Laurence Brewer	Chief Records Office r	National Records and Archives Administration - National Records and Archives Administration
06/10/2019	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist