

## Request for Records Disposition Authority

Records Schedule Number      DAA-0266-2018-0007  
 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                  Applications, Amendments, Exemptions, Filings, and Submissions Processing  
 Internal agency concurrences will be provided      No

**Background Information**

The Division of Trading and Markets 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. The securities rules require that entities conducting business in the securities industry register with the SEC by filing a registration statement. After the entities are registered, they must file additional disclosure, financial and other information with the SEC. Registrants include issuers of securities in registered transactions, reporting companies, investment companies, investment advisers, transfer agents, broker-dealers, self-regulatory organizations (exchanges, clearing agencies, MSRB, and FINRA). In addition, certain entities must file other submissions for approval, comment, or some other action by the Commission.

**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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0266-2018-0007

Sequence Number	
1	<b>Registrations</b> Disposition Authority Number: DAA-0266-2018-0007-0001
2	<b>Product and Offering Registrations</b> Disposition Authority Number: DAA-0266-2018-0007-0002

**Records Schedule Items**

Sequence Number	
1	<p><b>Registrations</b></p> <p>Disposition Authority Number      DAA-0266-2018-0007-0001</p> <p>Applications for, and amendments to, registration of entities and persons, reports of activities other than risk assessment reports, filings, plans, internal background/ supporting materials produced by staff in the day-to-day support and maintenance of registrations, exemptions, exceptions, withdrawal from registration, and related external correspondence including requests for confidential treatment.</p> <p>Final Disposition                      Temporary</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      NC1-266-82-001 / 05 NC1-266-82-001 / 10 NC1-266-83-005 / 08 N1-266-94-002 / 01a N1-266-94-002 / 01c N1-266-94-002 / 04 N1-266-94-002 / 06 N1-266-94-002 / 08 N1-266-94-002 / 09</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cut off at the end of the calendar year after withdrawal becomes effective.</p> <p>Retention Period                        Destroy 50 year(s) after cutoff</p> <p><b>Additional Information</b></p> <p>GAO Approval                            Not Required</p>
2	<p><b>Product and Offering Registrations</b></p> <p>Disposition Authority Number      DAA-0266-2018-0007-0002</p>

**Applications for, and amendments to registration of products and offering, withdrawn or delisted statements, and related external correspondence including requests for confidential treatment.**

**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** NC1-266-77-002 / 15b

**Disposition Instruction**

**Cutoff Instruction** Cut off at the end of the calendar year after withdrawal becomes effective.

**Retention Period** Destroy 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
04/04/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
04/10/2018	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
04/10/2018	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
04/10/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
08/03/2018	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
08/03/2018	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
08/03/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/11/2018	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
10/11/2018	Concur	Rachel BanTonkin	Supervisory Archives Specialist	National Archives and Records Administration - ACR1
10/18/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program

				- ACNR Records Management Services
10/18/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist