

Request for Records Disposition Authority

Records Schedule Number **DAA-0266-2018-0011**

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 **Agency-wide**

Schedule Subject **Publications and Reports of the Securities and Exchange Commission (SEC) with Continuing Historical Value**

Internal agency concurrences will be provided **No**

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-0266-2018-0011

Sequence Number	
1	Publications and Reports of the SEC with Continuing Historical Value Disposition Authority Number: DAA-0266-2018-0011-0001

Records Schedule Items

Sequence Number											
1	<p data-bbox="345 380 1321 415">Publications and Reports of the SEC with Continuing Historical Value</p> <p data-bbox="345 436 1149 464">Disposition Authority Number DAA-0266-2018-0011-0001</p> <p data-bbox="345 489 1523 1476">This schedule covers a collection of various materials of the SEC with continuing historical value, including: *Monthly and quarterly SEC Statistical Bulletins and weekly Statistical Series Releases with explanatory notes related to data on round-lot and odd-lot share volume in stock exchanges, over the counter (OTC), volume in selected securities, block distributions, securities registrations and offerings, net change in corporate securities outstanding, working capital of U.S. corporations, assets of non-insured pension funds, and Rule 144 filings and 8-K reports; *Directories of companies with securities listed on national securities exchanges, and/or securities traded OTC which are registered under Section 12 (g) of the Securities Exchange Act as a result of having securities registered under the Security Act of 1933. As of September 30, 1992, the directories include fillings of over 12,000 companies required to file annual reports with the SEC under the Securities and Exchange Act 1934; *Official summaries of SEC transactions related to reports filed with the SEC. The summaries omit reported data reflecting stock splits, stock dividends, rights, gifts, initial holdings, unchanged holdings of any additional class of security, and reports covering less than 100 shares purchased and sold combined during the months with respect to the class of security traded. They disclose the aggregate number of shares purchased, and the number of monthly shares sold with respect to each class of security traded by each reporting person. *Surveys of American Listed Corporations consisting of reported information on registrants with the SEC under the 1933 and 1934 Acts. The surveys include individual industry reports and special statistical studies; *Securities Violations Bulletin distributed to officials of cooperating law enforcement and other agencies in the U.S. and Canada. The bulletins name persons involved in securities violations and official actions taken; *Compiled SEC Speeches, and Decisions and Reports.</p> <table data-bbox="345 1497 922 1843"><tr><td data-bbox="345 1497 542 1524">Final Disposition</td><td data-bbox="761 1497 922 1524">Permanent</td></tr><tr><td data-bbox="345 1549 480 1577">Item Status</td><td data-bbox="761 1549 849 1577">Active</td></tr><tr><td data-bbox="345 1602 656 1629">Is this item media neutral?</td><td data-bbox="761 1602 802 1629">No</td></tr><tr><td data-bbox="345 1654 626 1682">Explanation of limitation</td><td data-bbox="761 1654 964 1682">Paper records</td></tr><tr><td data-bbox="345 1707 732 1843">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td><td data-bbox="761 1707 802 1734">No</td></tr></table> <p data-bbox="345 1875 659 1902">Disposition Instruction</p>	Final Disposition	Permanent	Item Status	Active	Is this item media neutral?	No	Explanation of limitation	Paper records	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
Final Disposition	Permanent										
Item Status	Active										
Is this item media neutral?	No										
Explanation of limitation	Paper records										
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No										

Transfer to the National Archives for Accessioning Transfer to the National Archives immediately after approval of schedule

Additional Information

First year of records accumulation **1934**

End year of records accumulation **2013**

What will be the date span of the initial transfer of records to the National Archives? **From 1934 To 2013**

How frequently will your agency transfer these records to the National Archives? **Unknown
One-time transfer. Records no longer being accumulated.**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	73 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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
09/18/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
02/25/2022	Submit for Concurrency	Esther Hidalgo	Archives Specialist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
03/07/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
03/07/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
03/08/2022	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist