

## Request for Records Disposition Authority

Records Schedule Number           DAA-0266-2019-0002  
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                 Division of Corporation Finance  
Schedule Subject                  Confidential Treatment Materials  
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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	0	2	0

### GAO Approval

0002

## Outline of Records Schedule Items for DAA-0266-2019-0002

Sequence Number	
1	Materials submitted in support of a request for confidential treatment pursuant to Rules 406 and 24b-2 Disposition Authority Number: DAA-0266-2019-0002-0001
2	Supplemental materials provided pursuant to Rules 418 and 12b-4 Disposition Authority Number: DAA-0266-2019-0002-0002

## Records Schedule Items

Sequence Number	
1	<p><b>Materials submitted in support of a request for confidential treatment pursuant to Rules 406 and 24b-2</b></p> <p>Disposition Authority Number      <b>DAA-0266-2019-0002-0001</b></p> <p>All materials, including applications and exhibits required or requested by the Commission that support or justify a request for confidential treatment of information otherwise required to be filed, that are submitted by a registrant to the Commission pursuant to Rule 406 (17 CFR 230.406) or Rule 24b-2 (17 CFR 240.24b-2). Also included are related correspondence and staff work product generated as part of the review.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?          <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p>GRS or Superseded Authority Citation      <b>DAA-0266-2014-0001-0001</b> <b>DAA-0266-2016-0001-0001</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cutoff at the conclusion of the review.</b></p> <p>Retention Period                      <b>Dispose of or delete materials 3 years after cutoff.</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                          <b>Not Required</b></p>
2	<p><b>Supplemental materials provided pursuant to Rules 418 and 12b-4</b></p> <p>Disposition Authority Number      <b>DAA-0266-2019-0002-0002</b></p> <p>These materials consist of documents that are not otherwise required to be filed but are requested by the SEC staff pursuant to Rule 418 (17 CFR 230.418) or Rule 12b-4 (17 CFR 240.12b-4) for consideration during the course of a filing review. Also included are related correspondence and staff work product generated as part of a review.</p> <p>Final Disposition                      <b>Temporary</b></p>

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
<b>Disposition Instruction</b>	
Cutoff Instruction	Cutoff at the conclusion of the review.
Retention Period	Return or Destroy/delete upon conclusion of the review, following the procedures in Rule 418 or Rule 12b-4, as applicable.
<b>Additional Information</b>	
GAO Approval	Required and Received

## 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
11/09/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
02/11/2020	Submit for Concurrency	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
02/18/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
02/18/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
02/20/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist