

## Request for Records Disposition Authority

Records Schedule Number           DAA-0266-2019-0004

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                   Office of the Advocate for Small Business Capital Formation

Schedule Subject                    Small Business Capital Formation Advisory Committee

Internal agency concurrences will be provided   No

Background Information

The Office of the Advocate for Small Business Capital Formation (OASB) is an independent office that began operations in January 2019. It was established pursuant to the SEC Small Business Advocate Act of 2016 to advance the interests of small businesses and their investors at the SEC and in the capital markets. OASB advocates for small businesses and their investors by conducting outreach to solicit views on relevant capital formation issues, providing assistance to resolve significant problems, analyzing the potential small business impact of proposed regulations and rules, and recommending changes to mitigate capital formation issues and promote the interests of small businesses and their investors. The SEC Small Business Advocate Act established the Small Business Capital Formation Advisory Committee to provide the SEC with advice on SEC rules, regulations, and policies relating to capital formation across the spectrum of small businesses from emerging, privately-held companies to smaller public companies with less than \$250,000,000 in public market capitalization; trading in the securities of such companies; and public reporting and corporate governance requirements of such companies. The Small Business Advocate serves as a member of the Committee, and OASB provides support and assistance to assist the Committee in fulfilling its statutory mission. The Committee submits recommendations to the Commission, to which the Commission must respond.

### 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0266-2019-0004

Sequence Number	
1	Small Business Capital Formation Advisory Committee Official Records Disposition Authority Number: DAA-0266-2019-0004-0001
2	Routine Committee Records Disposition Authority Number: DAA-0266-2019-0004-0002

## Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 1352 411"><b>Small Business Capital Formation Advisory Committee Official Records</b></p> <p data-bbox="345 432 1151 464">Disposition Authority Number      <b>DAA-0266-2019-0004-0001</b></p> <p data-bbox="345 489 1474 674">Records include, but are not limited to, charters, records related to Committee membership, meeting minutes, transcripts, Committee member correspondence documenting discussions, decisions, or actions related to the work of the committee (excluding administrative or logistical matters), and Committee recommendations to the SEC.</p> <p data-bbox="345 695 915 726">Final Disposition                      <b>Temporary</b></p> <p data-bbox="345 747 849 779">Item Status                              <b>Active</b></p> <p data-bbox="345 800 818 831">Is this item media neutral?        <b>Yes</b></p> <p data-bbox="345 852 818 978">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 data-bbox="345 999 818 1083">Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p data-bbox="345 1125 659 1157"><b>Disposition Instruction</b></p> <p data-bbox="345 1188 1289 1220">Cutoff Instruction                      <b>Cutoff at the end of the calendar year</b></p> <p data-bbox="345 1241 1187 1272">Retention Period                        <b>Destroy 15 year(s) after cutoff</b></p> <p data-bbox="345 1314 656 1346"><b>Additional Information</b></p> <p data-bbox="345 1377 948 1409">GAO Approval                            <b>Not Required</b></p>
2	<p data-bbox="345 1430 748 1461"><b>Routine Committee Records</b></p> <p data-bbox="345 1482 1154 1514">Disposition Authority Number      <b>DAA-0266-2019-0004-0002</b></p> <p data-bbox="345 1539 1503 1797">Records of an administrative nature, including audio and video recordings of committee meetings that have been fully transcribed; Photographs of committee social functions, routine award events, and other non-mission-related activities; Records relating to logistical or administrative aspects of committee meetings and activities such as meeting location and access, IT support concerns, agenda planning, meeting arrangements, routine correspondence, and other logistical and administrative issues.</p> <p data-bbox="345 1818 915 1850">Final Disposition                      <b>Temporary</b></p> <p data-bbox="345 1871 849 1902">Item Status                              <b>Active</b></p>

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**

**Disposition Instruction**

Retention Period **Destroy 3 year(s) after superseded, obsolete, no longer needed or when termination of the committee occurs, whichever is sooner**

**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
05/13/2019	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
05/14/2019	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
05/14/2019	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
05/14/2019	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
07/23/2020	Submit for Concurrence	Esther Hidalgo	Archivist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
08/04/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/06/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
08/10/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist