Request for Records Disposition Authority

Records Schedule Number	DAA-0266-2019-0005
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	Agency-wide
Schedule Subject	U.S. Securities and Exchange Commission Staff interpretations
Internal agency concurrences will be provided	Νο
Background Information	The U.S. Securities and Exchange Commission (SEC) staffs' interpretations of existing federal securities laws or regulations. These staff interpretations provide guidance to those who must comply with the federal securities laws.

Item Count

Number of Total Disposition Items		· · · · · · · · · · · · · · · · · · ·	Number of Withdrawn Disposition Items
3	0	3	0

GAO Approval

Outline of Records Schedule Items for DAA-0266-2019-0005

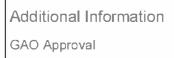
5	Sequence Number	
1		Formal Public Guidance and Staff Interpretations Disposition Authority Number: DAA-0266-2019-0005-0001
2	!	Informal Public Guidance and Staff Interpretations Disposition Authority Number: DAA-0266-2019-0005-0002
3		Supporting Documentation and Background Materials Disposition Authority Number: DAA-0266-2019-0005-0003

Records Schedule Items

Sequence Number				
đ.	Formal Public Guidance and Staff Interpretations			
	Disposition Authority Number	DAA-0266-2019-0005-0001		
	who must comply with federa service, or action would cons to, Staff Legal Bulletins (SLB interpretive releases by the C	uidance records representing SEC staff's interpretations to individuals or entities ho must comply with federal securities laws as to whether a particular product, ervice, or action would constitute a violation. Records include but are not limited b, Staff Legal Bulletins (SLBs) and No-Action Letter requests. Not included are terpretive releases by the Commission or by delegated authority, regarding arious aspects of the federal securities laws and SEC regulations.		
	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	N1-266-77-002 / 83 in part		
	Disposition Instruction			
	Cutoff Instruction	Cut off at the end of the calendar year after interpretation is issued.		
	Retention Period	Destroy between 3 year(s) and 15 year(s) after cutoff		
	Additional Information			
	GAO Approval	Not Required		
2	Informal Public Guidance an	d Staff Interpretations		
	Disposition Authority Number	DAA-0266-2019-0005-0002		
	· ·	received from the public for interpretations of rules ets administered by the Commission and SEC staff's		
	Final Disposition	Temporary		
	Item Status	Active		

by this item currently exist in electronic format(s) other than e- mail and word processing? Do any of the records covered by this item exist as structured electronic data? GRS or Superseded Authority Citation Disposition Instruction Cut off at the end of the calendar year after interpretation is issued. Retention Period Cut off at the end of the calendar year after interpretation is issued. Retention Period Destroy between 3 year(s) and 15 year(s) after cuto Additional Information GAO Approval Not Required Supporting Documentation and Background Materials Disposition Authority Number DAA-0266-2019-0005-0003 Internal background and supporting records used to prepare interpretations and No-Action Letters, including, but not limited to, substantive drafts, work papers, a internal memorandum. Final Disposition Final Disposition tem Status this item media neutral? Po Do any of the records covered by this item exist as structured electronic format(s) other than e- mail and word processing? GRS or Superseded Authority Citation Disposition Instruction	Is this item media neutral?	Yes
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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	Ву	Title	Organization
06/06/2019	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
04/01/2020	Return for Revisio n	Esther Hidalgo	Archivist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
04/03/2020	Submit For Certific ation	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
04/03/2020	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
07/10/2020	Submit for Concur rence	Esther Hidalgo	Archivist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
08/04/2020	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - ACNR Records Management Services
08/05/2020	Concur	Laurence Brewer	Chief Records Office r	National Records and Archives Administration - National Records and Archives Administration
08/05/2020	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist