

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2019-0006

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 Investment Management

Schedule Subject Records of Division of Investment Management Senior Officials

Internal agency concurrences will be provided No

Background Information The Division of Investment Management (IM) regulates investment companies, variable insurance products, and federally registered investment advisers. Types of investment companies include mutual funds, closed-end funds, unit investment trusts, and exchange-traded funds.

IM works to support the SEC in its mission to protect investors, maintain fair, orderly, and efficient markets, and facilitate capital formation.

NOTE: This schedule does not include temporary administrative records covered by the General Records Schedule (GRS) and nonrecord materials. (Nonrecord material typically includes information-only copies of correspondence, directives, forms and other documents on which no administrative action recorded or taken, routing slips and transmittal sheets adding no information to that contained in the transmitted material, duplicate copies of documents maintained in the same file, extra copies of reports, briefings, or other publications, publications received from Government agencies, commercial firms or private institutions that require no action and are not a part of a subject file on which action is taken. These non-records should be destroyed/ deleted immediately when no longer needed for conducting business.

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0266-2019-0006

Sequence Number

1	Records of Division of Investment Management Senior Officials Disposition Authority Number: DAA-0266-2019-0006-0001
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Records Schedule Items

Sequence Number	
1	<p data-bbox="342 380 1240 411">Records of Division of Investment Management Senior Officials</p> <p data-bbox="342 432 1151 464">Disposition Authority Number DAA-0266-2019-0006-0001</p> <p data-bbox="342 485 1484 1094">This schedule applies to the following Senior Officials: Director, Director’s Confidential Assistant, the Deputy Director, Associate Director/Chief Counsel, Managing Executive, Associate Directors, and other senior staff, regardless of title, designated to temporarily act on behalf as a Division's Senior Official. This schedule covers program records of Senior Officials documenting divisional policies and procedures including: -Subject files -Briefing books; -Studies and/or reports; -Congressional, Inter-agency and intra-agency correspondence and memoranda; -Final and annotated speeches and testimonies; -Meeting agendas and minutes for which the Division is the lead or host; -Calendars, schedules, appointments, itineraries, logs, and journals; -Records of program/mission-related trips, visits and other activities of officials that contain unique substantive information; -Annotated copies of meeting agendas and minutes regardless of which agency is the lead or host; -Any other records that document evidence of decisions, provide specific guidance, direction or tasking and -Notes, drafts and other records that contain substantive information that are evidence of decisions, actions or strategies related to official program-related activities.</p> <p data-bbox="342 1115 922 1146">Final Disposition Permanent</p> <p data-bbox="342 1167 850 1199">Item Status Active</p> <p data-bbox="342 1220 818 1251">Is this item media neutral? Yes</p> <p data-bbox="342 1272 818 1398">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 data-bbox="342 1419 818 1503">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="342 1545 659 1577">Disposition Instruction</p> <p data-bbox="342 1608 1487 1682">Cutoff Instruction Cut off files at the end of the calendar year in which the Senior Official’s tenure ends.</p> <p data-bbox="342 1703 1455 1776">Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff</p> <p data-bbox="342 1808 656 1839">Additional Information</p> <p data-bbox="342 1871 834 1902">First year of records accumulation 1983</p>

What will be the date span of the initial transfer of records to the National Archives? **From 1983 To 2005**

How frequently will your agency transfer these records to the National Archives? **Every 1 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	44 MB	2 MB
Paper	80 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
06/13/2019	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/28/2020	Return for Revision	Esther Hidalgo	Archivist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
05/01/2020	Submit for Concurrence	Esther Hidalgo	Archivist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
05/22/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/29/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
06/02/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist