

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2022-0002
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 Credit Ratings
Schedule Subject Exemptive Relief and No Action Letters
Internal agency concurrences will be provided No

Background Information The Office of Credit Ratings (OCR) assists the Commission in executing its responsibility for protecting investors, promoting capital formation, and maintaining fair, orderly, and efficient markets through the oversight of credit rating agencies registered with the Commission as "nationally recognized statistical rating organizations" (NRSROs). In support of this mission, OCR monitors the activities and conducts examinations of registered NRSROs to assess and promote compliance with statutory and Commission requirements.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-0266-2022-0002

Sequence Number	
1	Exemptive Relief or No-Action Letters Involving NRSROs Disposition Authority Number: DAA-0266-2022-0002-0001

Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 1154 411">Exemptive Relief or No-Action Letters Involving NRSROs</p> <p data-bbox="345 432 1154 464">Disposition Authority Number DAA-0266-2022-0002-0001</p> <p data-bbox="345 485 1484 716">Records Related to Exemptive Relief or No-Action Letters Involving NRSROs. This item covers records provided by NRSROs to the Commission; supporting materials; staff work product, including, but not limited to, memoranda, term sheets, reports, comment summaries, briefing materials or work papers, and orders or no-action letters; and other records that staff deem necessary to retain, including meeting notes and internal and external correspondence.</p> <p data-bbox="345 737 919 768">Final Disposition Temporary</p> <p data-bbox="345 789 850 821">Item Status Active</p> <p data-bbox="345 842 821 873">Is this item media neutral? Yes</p> <p data-bbox="345 894 821 1020">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="345 1041 821 1125">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="345 1146 1154 1220">GRS or Superseded Authority Citation DAA-0266-2016-0006-0004 DAA-0266-2016-0006-0005</p> <p data-bbox="345 1262 659 1293">Disposition Instruction</p> <p data-bbox="345 1314 1507 1430">Cutoff Instruction Cut off at the end of the calendar year in which the underlying matter is approved by the Commission or the staff, or closed, as applicable.</p> <p data-bbox="345 1451 1187 1482">Retention Period Destroy 20 year(s) after cutoff</p> <p data-bbox="345 1524 659 1556">Additional Information</p> <p data-bbox="345 1577 951 1608">GAO Approval Not Required</p>

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
02/08/2022	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/10/2022	Submit for Concurrency	Robert Bennett	Appraisal Archivist	AC - AC
11/15/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/16/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
11/16/2022	Approve	Debra Wall	Deputy Archivist	National Archives and Records Administration - ND Archives I Office