REQUEST FOR RECORDS - DISPOSITION AUTHORITY

To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001

<table>
<thead>
<tr>
<th>JOB NUMBER</th>
<th>NJ-266-09-3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date received</td>
<td>4/6/09</td>
</tr>
</tbody>
</table>

Securities and Exchange Commission
Division of Trading and Markets (TM)
Office of Market Continuity

NAME OF PERSON WITH WHOM TO CONFER: Keith Riley
TELEPHONE NUMBER: (202) 551-5689

DATE ACTIVE: April 3, 2009
SIGNATURE OF AGENCY REPRESENTATIVE: Larry Mills
TITLE: Records Officer

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 on the attached page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies.

X is not required    is attached, or    has been requested

<table>
<thead>
<tr>
<th>8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION</th>
<th>9 GRS OR SUPERSEDED JOB CITATION</th>
<th>10 ACTION TAKEN (NARA USE ONLY)</th>
</tr>
</thead>
<tbody>
<tr>
<td>CONDOR – Consolidated New Database and Operational Reports Application</td>
<td></td>
<td></td>
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</table>

**Description** - An application which provides the Automation Review Policy staff of the Division of Trading and Markets with the ability to manage and/or track:
- Data entry of Self-Regulatory Organizations and Electronic Clearing Networks
- Inspections/recommendations
- Annual Reports
- Operations, outages, and deficiencies
- Correspondence

<table>
<thead>
<tr>
<th>1 Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>Temporary: Cut off after SRO/ECN is no longer registered. Destroy or delete 6 years after cut off</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>2 Output</th>
</tr>
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<tbody>
<tr>
<td>Electronic or paper files generated from application used to produce publications, statistics or Ad Hoc reports/printouts</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Temporary</th>
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</thead>
<tbody>
<tr>
<td>Destroy when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes</td>
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</tbody>
</table>

Printouts or electronic files needed to provide documentation of specific activities or transactions are to be filed with their related records, and are to be retained according to the disposition instructions for the records they support.

<table>
<thead>
<tr>
<th>3 Backup Tapes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Temporary: Maintained in accordance with General Records Schedule 24, Item 4</td>
</tr>
</tbody>
</table>

PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV 3-91) Prescribed by NARA 36 CFR 1228