

REQUEST FOR RECORDS DISPOSITION AUTHORITY				LEAVE BLANK (NARA use only)	
				JOB NUMBER <i>NI-266-11-1</i>	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001				Date received <i>11/22/2010</i>	
1 FROM (Agency or establishment) U. S. Securities and Exchange Commission				NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2 MAJOR SUBDIVISION Office of Human Resources					
3 MINOR SUBDIVISION					
4 NAME OF PERSON WITH WHOM TO CONFER Larry Mills		5 TELEPHONE NUMBER (202) 551-7202		DATE <i>11/10/11</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
6 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 <u> 0 </u> 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, <input checked="" type="checkbox"/> X is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested					
DATE <i>11/10/11</i>		SIGNATURE OF AGENCY REPRESENTATIVE <i>Larry Mills</i>		TITLE Records Officer <i>Larry Mills</i>	
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)		
	Description Employee Reports of Securities Transactions Pursuant to 17 CFR 200 735-5, securities transactions by members and employees must comply with the provisions of 5 CFR 4401 102 (prohibited and restricted financial interests and transactions) 1 Forms 681, 682, and 687a, employee reports of securities transactions; and all other alternative or additional reports and related records required to disclose securities transactions. Disposition - Temporary Destroy when 6 years old, EXCEPT that documents needed in an ongoing investigation will be retained until no longer needed in the investigation Format Media Neutral 2. Legacy Program Systems/Databases (including AROC – Annual Rules of Conduct) Relational databases used to track employee securities holdings forms Disposition - Temporary Destroy in accordance with the disposition of the underlying records <i>Preserve</i> data when 6 years old, EXCEPT that data needed in an ongoing investigation will be retained until no longer needed in the investigation				