REQUEST FOR RECORDS DISPOSITION AUTHORITY

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<table>
<thead>
<tr>
<th>JOB NUMBER</th>
<th>1-266-11-1</th>
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To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001

Date received: 11/22/2010

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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

A. FROM (Agency or establishment)
U. S. Securities and Exchange Commission

B. MAJOR SUBDIVISION
Office of Human Resources

C. MINOR SUBDIVISION

D. NAME OF PERSON WITH WHOM TO CONFER
Larry Mills

E. TELEPHONE NUMBER
(202) 551-7202

F. ARCHIVIST OF THE UNITED STATES

8 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 _0_ 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,

☐ is attached, or ☐ has been requested

DATE
11/10/11

SIGNATURE OF AGENCY REPRESENTATIVE
Larry Mills

TITLE
Records Officer

7 ITEM NO
8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

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 disposal of the underlying records.

Date received: 11/22/2010

PREVIOUS EDITION NOT USABLE

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