

REQUEST FOR RECORDS DISPOSITION AUTHORITY				LEAVE BLANK (NARA use only)			
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001				JOB NUMBER <i>M1-266-11-2</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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10			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 Ethics Office							
3 MINOR SUBDIVISION							
4 NAME OF PERSON WITH WHOM TO CONFER Larry Mills		5 TELEPHONE NUMBER (202) 551-7202		DATE <i>11/23/10</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"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested							
DATE <i>11/23/2010</i>		SIGNATURE OF AGENCY REPRESENTATIVE <i>Larry Mills</i>				TITLE Records Officer	
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION			9 GRS OR SUPERSEDED JOB CITATION		10 ACTION TAKEN (NARA USE ONLY)	
	Description Ethics and Standards of Conduct Files 1 Employee conduct folders maintained by Ethics Office containing ethics training files, ethics agreement files such as certification of receipt of ethics training and guidance documentation, and additional employee information relevant to the Ethics Office DISPOSITION Temporary Cut off annually and retire to Federal Records Center Destroy when 6 years old *Retention applies to current as well as separated employees Format Media Neutral						