

| REQUEST FOR RECORDS DISPOSITION AUTHORITY  |  |   | LEAVE BLANK (NARA use only)  |  |
|--|--|---|--|--|
|  |  |   | JOB NUMBER <i>11-266-11-3</i>  |  |
| To NATIONAL ARCHIVES & RECORDS ADMINISTRATION<br>8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001   |  |   | Date received <i>5/12/2011</i>   |  |
| 1 FROM (Agency or establishment)<br><b>U. S. Securities and Exchange Commission</b>  |  |   | NOTIFICATION TO AGENCY<br>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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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<br><b>Office of Administrative Services</b>  |  |   |  |  |
| 3 MINOR SUBDIVISION  |  |   |  |  |
| 4 NAME OF PERSON WITH WHOM TO CONFER<br><b>Larry Mills</b>   |  | 5 TELEPHONE NUMBER<br><b>(202) 551-7202</b> | DATE<br><i>11/12/11</i>  | ARCHIVIST OF THE UNITED STATES<br><i>[Signature]</i> |
| 6 AGENCY CERTIFICATION<br>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,<br><br><div style="display: flex; justify-content: space-around;"> <span><input checked="" type="checkbox"/> is not required</span> <span><input type="checkbox"/> is attached, or</span> <span><input type="checkbox"/> has been requested</span> </div> |  |   |  |  |
| DATE<br><i>9/12/11</i>   | SIGNATURE OF AGENCY REPRESENTATIVE<br><i>Larry Mills</i>   |   | TITLE<br>Records Officer   |  |
| 7 ITEM NO  | 8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION   | 9 GRS OR SUPERSEDED JOB CITATION            | 10 ACTION TAKEN (NARA USE ONLY)  |  |
|  | <b>Physical Access Control System</b><br><br>1 <b>Access Control Profile Data</b><br>Includes badgeholder's PII such as name, badge number and other required PII<br><br>DISPOSITION – Temporary Delete an individual's profile one year after individual separates from the Commission<br><br>2 <b>Badging and access control activity data</b><br>Records of individual's entry and exit through authorized areas with an access card<br><br>DISPOSITION – Temporary Cut off semi-annually Delete six months after cutoff<br><br>3 <b>System Documentation</b><br>Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file, database or other electronic records<br><br>(a) Documentation relating to electronic records that are scheduled for destruction in the GRS or in a NARA-approved agency schedule<br><br>DISPOSITION – Temporary Destroy or delete upon authorized deletion of the related electronic records or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is later (GRS 20 item 11a1)<br><br>4. <b>Reports</b><br>Derived data and data files that are copied, extracted, merged, and/or calculated from other data generated within the agency, when the original data is retained<br><br>DISPOSITION – Temporary Delete when the agency determines that they are no longer needed for administrative, legal, audit, or other operational purposes (GRS 20 item 12a) | <i>GRS 20, item 11a1</i>                    | <i>GRS 20, item 12a</i>  |  |