

## Request for Records Disposition Authority

Records Schedule Number DAA-0266-2016-0012

Schedule Status Approved

Agency or Establishment Securities and Exchange Commission

Record Group / Scheduling Group Records of the Securities and Exchange Commission

Records Schedule applies to Major Subdivision

Major Subdivision Offices of the SEC Commissioners

Schedule Subject Offices of the SEC Commissioners Records

Internal agency concurrences will be provided No

**Background Information**

The Securities and Exchange Commission has five Commissioners who are appointed by the President of the United States with the advice and consent of the Senate. Their terms last five years and are staggered so that one Commissioner's term ends on June 5 of each year. To ensure that the Commission remains non-partisan, no more than three Commissioners may belong to the same political party. The President also designates one of the Commissioners as Chairman, the SEC's top executive. The records of the Office of the SEC Chairman are covered by a separate NARA-approved records schedule.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	2	0	0

### GAO Approval

Outline of Records Schedule Items for DAA-0266-2016-0012

Sequence Number	
1	SEC Commissioners Disposition Authority Number: DAA-0266-2016-0012-0001
2	SEC Commissioners' Staff Disposition Authority Number: DAA-0266-2016-0012-0002

## Records Schedule Items

Sequence Number	
1	<p data-bbox="1676 350 1710 649"><b>SEC Commissioners</b></p> <p data-bbox="1625 350 1659 1141">Disposition Authority Number      DAA-0266-2016-0012-0001</p> <p data-bbox="1123 350 1604 1513">Records created, received and maintained by Commissioners who either never served as Chairman or by Commissioners during the period they did not serve as Chairman. Records include: Subject files; schedules; itineraries; record copies of briefing books; logs used to track activities or serve as finding aids; assignments or actions taken; official invitations; drafts of documents that contain notes or comments that are evidence of decisions, actions, or strategies; final copies of speeches delivered in an official capacity; final copies of testimony presented as an official SEC representative; meeting agendas and minutes; annotated copies of meeting agendas and minutes; handwritten notes where specific guidance, direction, or tasking is memorialized; and any other records which document evidence of decisions, specific guidance, direction or tasking, or contain information that documents official Commission-level activities. This item covers records created from 2016 forward..</p> <p data-bbox="1072 350 1106 917">Final Disposition      Permanent</p> <p data-bbox="1021 350 1055 847">Item Status      Active</p> <p data-bbox="970 350 1004 816">Is this item media neutral?      Yes</p> <p data-bbox="919 350 953 816">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      Yes</p> <p data-bbox="825 350 859 816">Do any of the records covered by this item exist as structured electronic data?      Yes</p> <p data-bbox="715 350 749 1068">GRS or Superseded Authority Citation      NC1-266-83-006 / 001</p> <p data-bbox="570 350 604 662"><b>Disposition Instruction</b></p> <p data-bbox="519 350 553 1417">Cutoff Instruction      Cut off at the end of the Commissioners' tenure.</p> <p data-bbox="425 350 502 1430">Transfer to the National Archives for Accessioning      Transfer to the National Archives 15 year(s) after cutoff</p> <p data-bbox="357 350 391 659"><b>Additional Information</b></p> <p data-bbox="306 350 340 833">First year of records accumulation      2016</p> <p data-bbox="187 350 280 1032">What will be the date span of the initial transfer of records to the National Archives?      From 2016 To 2020</p>

How frequently will your agency transfer these records to the National Archives? **Unknown**  
**Contingent upon of the Commissioners' tenures**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	500 MB	100 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

2

#### SEC Commissioners' Staff

Disposition Authority Number **DAA-0266-2016-0012-0002**

Work product generated specifically to be provided to the Commissioners to support their activities and/or decision making. These materials explain how the SEC formulated and executed program its policies, decisions, actions or responsibilities. Records include memoranda or notes on behalf of the Commissioners directing action to Division Directors, Office heads, or other SEC staff, and other documentation having annotations or comments circulated to other staff for review and comment that are evidence of decisions, actions, or strategies. This item covers records created from 2016 forward.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

#### Disposition Instruction

Cutoff Instruction **Cut off at the end of the Commissioners' tenures.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cutoff**

### Additional Information

First year of records accumulation **2016**

What will be the date span of the initial transfer of records to the National Archives? **From 2016 To 2020**

How frequently will your agency transfer these records to the National Archives? **Unknown**  
**Contingent upon end of Commissioners' tenures**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	500 MB	150 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

## 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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

Date	Action	By	Title	Organization
05/05/2016	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/11/2018	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
01/16/2018	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/16/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/17/2018	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
01/17/2018	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/17/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
02/21/2018	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
02/23/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services

02/23/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
02/26/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist