

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2014-0007

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 Division of Corporation Finance

Schedule Subject Filing Activity Tracking System (FACTS)

Internal agency concurrences will be provided No

Background Information FACTS is an IT system that records certain filing review activities performed by staff within the Division of Corporation Finance (CF). This system provides the current status of filings, and the workload of staff members, a particular office, or the entire division. The system automatically creates a new record whenever a filing comes into the Electronic Data Gathering and Retrieval (EDGAR) system that meets certain criteria. Key data elements from the filing (such as the company's name, filing date, and form type) are automatically retrieved from EDGAR. CF staff members then add individual information to the relevant record in FACTS pertaining to their pending and completed reviews, so that division and office level reports may be processed or tailored to the needs of the senior staff.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 1 | 0 | 1 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0266-2014-0007

| Sequence Number |
|-----------------|
|-----------------|

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|---|
| 1 |
|---|

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|-------------|
| Master File |
|-------------|

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| Disposition Authority Number: DAA-0266-2014-0007-0002 |
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Records Schedule Items

| Sequence Number | |
|-----------------|---|
| 1 | Master File |
| | Disposition Authority Number DAA-0266-2014-0007-0002 |
| | Final Disposition Temporary |
| | 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 Cutoff when the system is decommissioned. |
| | Retention Period Destroy 5 year(s) after cutoff |
| | Additional Information |
| | GAO Approval Not Required |

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 |
|------------|------------------------|------------------|---|---|
| 05/29/2014 | Certify | Curt Francisco | Records Officer | Office of Support - Office of Records Management Services |
| 10/14/2014 | Submit for Concurrency | Lauren Crisler | Appraiser | National Archives and Records Administration - Records Management Services |
| 11/18/2014 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - Records Management Services |
| 11/18/2014 | Concur | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 11/20/2014 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |