

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2015-0005

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 Office of the Investor Advocate

Schedule Subject Records of the Office of the Investor Advocate

Internal agency concurrences will
be provided No

Background Information

The Office of the Investor Advocate was established pursuant to Section 915 of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010, as codified in Section 4(g) of the Securities Exchange Act of 1934 (the "Exchange Act"). The Office is headed by the Investor Advocate, who was appointed by the Chair in consultation with the other Commissioners. The Investor Advocate reports directly to the Chair. The mission of the Office is to promote the interests of investors by, among other things, performing the following required tasks:

- Analyzing the potential impact on investors of proposed regulations of the Commission and rules of self-regulatory organizations (SROs);
- Identifying areas in which investors would benefit from changes in the regulations of the Commission or the rules of SROs;
- Assisting retail investors in resolving significant problems they may have with the Commission or SROs;
- Identifying problems that investors have with financial service providers and investment products;
- To the extent practicable, proposing to the Commission changes in regulations or orders of the Commission and to Congress any legislative, administrative, or personnel changes that may be appropriate to mitigate problems identified and to promote the interests of investors.
- Proposing to Congress

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0266-2015-0005

Sequence Number	
1	Records of the Ombudsman Disposition Authority Number: DAA-0266-2015-0005-0001
2	Investor Advisory Committee Disposition Authority Number: DAA-0266-2015-0005-0002

Records Schedule Items

Sequence Number										
1	<p>Records of the Ombudsman</p> <p>Disposition Authority Number DAA-0266-2015-0005-0001</p> <p>Correspondence and other records created and received by the Ombudsman in resolving problems that retail investors may have with the Commission or with SROs, and relating to persons presenting questions to the Investor Advocate regarding compliance with the securities laws.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>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>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the calendar year.</p> <p>Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff</p> <p>Additional Information</p> <p>First year of records accumulation 2013</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 2013 To 2014</p> <p>How frequently will your agency transfer these records to the National Archives? Every 1 Years</p> <table border="1"><thead><tr><th></th><th>Estimated Current Volume</th><th>Annual Accumulation</th></tr></thead><tbody><tr><td>Electronic/Digital</td><td>250 MB</td><td>100 MB</td></tr><tr><td>Paper</td><td></td><td></td></tr></tbody></table>		Estimated Current Volume	Annual Accumulation	Electronic/Digital	250 MB	100 MB	Paper		
	Estimated Current Volume	Annual Accumulation								
Electronic/Digital	250 MB	100 MB								
Paper										

2

Microform		
Hardcopy or Analog Special Media		

Investor Advisory Committee

Disposition Authority Number DAA-0266-2015-0005-0002

Section 911 of the Dodd-Frank Act, as codified in Section 39 of the Exchange Act, establishes the Investor Advisory Committee. The Committee currently is comprised of 21 members, and includes the Investor Advocate as a member of the Committee. The Office of the Investor Advocate provides staff and operational support to the Committee. Records covered by this item include, but are not limited to, meeting minutes, transcripts, and Committee recommendations to the SEC.

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 calendar year.

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

Additional Information

First year of records accumulation 2013

What will be the date span of the initial transfer of records to the National Archives? From 2013 To 2014

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
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Electronic/Digital	150 MB	100 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
07/30/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
07/27/2016	Submit for Concurrency	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
07/27/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
07/28/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
07/29/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist