

Request for Records Disposition Authority

Records Schedule Number **DAA-0266-2016-0002**

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 Secretary**

Schedule Subject **Records of the Office of the Secretary**

Internal agency concurrences will
be provided **No**

Background Information **The Secretary of the Commission is responsible for the preparation of the agendas of Commission business; the maintenance of the official minute record of all actions of the Commission; and the service of all instruments of formal Commission action. The Secretary is custodian of the official seal of the Commission, and also has the responsibility for authenticating documents. (17 CFR 200.13a(a)).**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
9	3	6	0

GAO Approval

Outline of Records Schedule Items for DAA-0266-2016-0002

Sequence Number	
1	Records of Official Minutes of Commission Meetings and Actions Disposition Authority Number: DAA-0266-2016-0002-0001
2	Commission Meeting Audio Recordings Disposition Authority Number: DAA-0266-2016-0002-0002
3	Commission Orders Disposition Authority Number: DAA-0266-2016-0002-0003
4	Advice and Information Memoranda, and Briefing Materials Disposition Authority Number: DAA-0266-2016-0002-0004
5	Administrative Proceedings Files Disposition Authority Number: DAA-0266-2016-0002-0005
6	Service Receipt Signature Cards Disposition Authority Number: DAA-0266-2016-0002-0006
7	Administrative Proceedings Periodic Reports Disposition Authority Number: DAA-0266-2016-0002-0007
8	Studies and Roundtables Disposition Authority Number: DAA-0266-2016-0002-0008
9	Notice of Self-Regulatory Organization Decision Disposition Authority Number: DAA-0266-2016-0002-0009

Records Schedule Items

Sequence Number		
1	Records of Official Minutes of Commission Meetings and Actions Disposition Authority Number DAA-0266-2016-0002-0001 Official minutes of Commission meetings, (open, closed, and executive session), seriatim and duty officer actions since its establishment. Files may include minutes, transcripts, record of votes, action memoranda, opinions of the Commission, minutes index, and other supporting documentation. 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 GRS or Superseded Authority Citation NC1-266-77-002 / 88 (partial) Commission Meeting Minutes 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 2007 What will be the date span of the initial transfer of records to the National Archives? From 2007 To 2007 How frequently will your agency transfer these records to the National Archives? Every 1 Years	
	Estimated Current Volume	Annual Accumulation
Electronic/Digital	20 GB	10 GB
Paper	150 Cubic feet	

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Microform		
Hardcopy or Analog Special Media		

Commission Meeting Audio Recordings

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

Audio recordings of Commission meetings (open, closed, executive session).

Final Disposition Permanent

Item Status Active

Is this item media neutral? No

Explanation of limitation Analog (1977-2006) and digital (2005-present) recordings

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? No

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 1977

What will be the date span of the initial transfer of records to the National Archives? From 1977 To 2001

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	84 GB	7 GB
Paper		

3

Microform		
Hardcopy or Analog Special Media	9000 cassette tapes	

Commission Orders

Disposition Authority Number DAA-0266-2016-0002-0003

Orders issued by and for the Commission. Orders issued "for the Commission" are issued under various delegated authority.

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

GRS or Superseded Authority Citation NC1-266-77-002 / 88 (partial) Commission Orders and Opinions

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 1935

What will be the date span of the initial transfer of records to the National Archives? From 1935 To 2001

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

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		3 GB

Paper	10 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

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Advice and Information Memoranda, and Briefing Materials

Disposition Authority Number DAA-0266-2016-0002-0004

Advice memoranda are used by staff to inform and gain the concurrence of the Commission regarding impending action staff intend to take by delegated authority or other action previously authorized by the Commission. Information memoranda are used by divisions/offices to inform the Commission of an event that has occurred. Briefings are presentations to the Commission by agency staff for informational purposes. Files may include memoranda, presentations, recordings, and publications. These materials are not included in Commission meeting minutes files.

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 Cut off at the end of the calendar year.

Retention Period Destroy 30 year(s) after cutoff

Additional Information

GAO Approval Not Required

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Administrative Proceedings Files

Disposition Authority Number DAA-0266-2016-0002-0005

Administrative proceedings are enforcement proceedings before an SEC administrative law judge or the Commission. All administrative proceedings are

reviewed and issued by the Office of the Secretary. Files include orders, pleadings, offers of settlement, disgorgement and disbursement orders, and correspondence.

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

GRS or Superseded Authority Citation NC1-266-77-002 / 76
NC1-266-77-002 / 78
NC1-266-77-002 / 80

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year in which the case closes.

Retention Period Destroy 30 year(s) after cutoff

Additional Information

GAO Approval Not Required

Service Receipt Signature Cards

Disposition Authority Number DAA-0266-2016-0002-0006

Certified mail signature receipt cards other than those associated with administrative proceedings service of orders to initiate proceedings (OIPs) and final orders. Signature receipt cards associated with OIPs and final orders are filed with the administrative proceedings files.

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

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Cutoff Instruction Cut off at the end of the calendar year.
Retention Period Destroy 5 year(s) after cutoff

Additional Information

GAO Approval Not Required

Administrative Proceedings Periodic Reports

Disposition Authority Number DAA-0266-2016-0002-0007

The Office of the Secretary is required to periodically provide the Commission with status reports of all filed adjudicatory proceedings (17 CFR 201.900(b)). Reports include information provided by the Office of the Administrative Law Judges and the Office of the General Counsel. The Commission establishes the frequency of the report.

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 Cut off at the end of the calendar year.
Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

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Studies and Roundtables

Disposition Authority Number DAA-0266-2016-0002-0008

Studies and roundtables, unrelated to Federal Advisory Committees, directed and authorized by the Commission as a whole or Commissioner(s) individually on topics related to the mission and/or administration of the agency.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered
by this item currently exist in Yes

9	electronic format(s) other than e-mail and word processing?	
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-266-77-002 / 79 (partial) Miscellaneous studies or investigations authorized by the Commission; petitions and/or requests for exemption from rules or regulations for which no specific procedures are provided
	Disposition Instruction	
	Cutoff Instruction	Cut off when project completed.
	Retention Period	Destroy 30 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Notice of Self-Regulatory Organization Decision	
	Disposition Authority Number	DAA-0266-2016-0002-0009
	Notification to SEC from Self-Regulatory Organizations (SROs) of SRO decision in disciplinary actions made by the SRO. Upon appeal by respondent to SEC of SRO decision, SRO notification becomes part of the subsequent administrative proceeding (3-) file as described in DAA-266-2016-0002-0005.	
	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	Cut off at the end of the calendar year.
	Retention Period	Destroy 3 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
11/16/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/03/2016	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
11/04/2016	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/04/2016	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
01/19/2018	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/19/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
03/06/2018	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
03/06/2018	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
03/06/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services

05/07/2018	Submit for Concurrency	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
05/17/2018	Concur	Rachel BanTonkin	Supervisory Archives Specialist	National Archives and Records Administration - ACR1
05/21/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
05/22/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist