

# INACTIVE - ALL ITEMS SUPERSEDED

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION  
Request for Records Disposition Authority

Records Schedule: **DAA-0266-2016-0004**

## Request for Records Disposition Authority

Records Schedule Number      DAA-0266-2016-0004

Schedule Status      Modified Approved Version

Agency or Establishment      Securities and Exchange Commission

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

Records Schedule applies to      Agency-wide

Schedule Subject      Studies and Reports to Congress

Internal agency concurrences will be provided      No

Background Information      Studies and reports to Congress which are publicly available at the time of submission and are not covered in other approved schedules.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
2	1	1	0

GAO Approval

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Records Schedule: DAA-0266-2016-0004

## Outline of Records Schedule Items for DAA-0266-2016-0004

Sequence Number	
1	Final Version of the Study and/or Report Disposition Authority Number: DAA-0266-2016-0004-0001
2	Studies and/or Reports Supporting Documentation Disposition Authority Number: DAA-0266-2016-0004-0002

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Records Schedule: **DAA-0266-2016-0004**

## Records Schedule Items

Sequence Number	
1	<p><b>Final Version of the Study and/or Report</b></p> <p>Disposition Authority Number      DAA-0266-2016-0004-0001</p> <p>Record copies of the final version of SEC produced studies and reports mandated by Congress. This includes reports, studies, and any reports related to studies that may be issued separately from the study itself. These studies and/or reports are made available to the general public at the time of submission.</p> <p>Final Disposition                      Permanent</p> <p>Item Status                              Inactive</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>GRS or Superseded Authority Citation      N1-266-09-002, item 1 N1-266-12-001, item 5</p> <p>Inactive Status Explanation          This item is inactive because it was superseded by New Disposition Authority Number: DAA-0266-2017-0003-0001</p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cut off at the end of the calendar year upon distribution to Congress and/or publication.</p> <p>Transfer to the National Archives for Accessioning      Transfer one copy of the final report to the National Archives and Records Administration (NARA) immediately after cutoff.</p> <p><b>Additional Information</b></p> <p>First year of records accumulation      1935</p> <p>What will be the date span of the initial transfer of records to the National Archives?      From 1935 To 2015</p> <p>How frequently will your agency transfer these records to the National Archives?      Every 1 Years</p>

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	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 GB	50 MB
Paper	10 Cubic feet	1 Cubic feet
Microform		
Hardcopy or Analog Special Media		

2

## Studies and/or Reports Supporting Documentation

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

Working files of the compiler of and contributors to the studies and/or reports, including correspondence, comments, justifications and other background notes or working files and supporting documentation related to the preparation of the study/report.

Final Disposition Temporary

Item Status Inactive

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  
N1-266-09-002, item 2  
N1-266-09-002, item 3  
N1-266-12-001, item 5

Inactive Status Explanation  
This item is inactive because it was superseded by  
New Disposition Authority Number:  
DAA-0266-2017-0003-0002

## Disposition Instruction

Cutoff Instruction  
Cutoff at the end of the calendar year covered by the study and/or report.

Retention Period  
Destroy 3 year(s) after cutoff

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## Additional Information

GAO Approval

Not Required

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## 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
11/18/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/18/2015	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
11/19/2015	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/19/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
03/03/2016	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
03/07/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
03/07/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
03/10/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

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