

## Request for Records Disposition Authority

Records Schedule Number DAA-0266-2018-0006

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 Trading and Markets

Schedule Subject Research, Analysis, and Monitoring Records

Internal agency concurrences will be provided No

Background Information

The Division of Trading and Markets establishes and maintains standards for fair, orderly, and efficient markets. It regulates the major securities market participants, including broker-dealers, self-regulatory organizations (such as stock exchanges, FINRA, and clearing agencies), and transfer agents.

This schedule covers records containing research and analysis pertaining to quantitative data analysis, trading, portfolio management, risk management, and the examination of a wide variety of topics, ranging from market structure, new products, and monitoring of markets and its participants.

### Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

### GAO Approval

## Outline of Records Schedule Items for DAA-0266-2018-0006

Sequence Number	
1	Research and Analysis Records
1.1	Final Reports Disposition Authority Number: DAA-0266-2018-0006-0001
1.2	Supporting Documentation and Background Materials Disposition Authority Number: DAA-0266-2018-0006-0002
2	Monitoring and Supervisory Records Disposition Authority Number: DAA-0266-2018-0006-0003

## Records Schedule Items

Sequence Number	
1	<p><b>Research and Analysis Records</b> Records containing research and analysis pertaining to quantitative data analysis, trading, portfolio management, risk management, and the examination of a wide variety of topics, ranging from market structure, new products and rule filings by exchanges, and monitoring of markets.</p>
1.1	<p><b>Final Reports</b> Disposition Authority Number      <b>DAA-0266-2018-0006-0001</b></p> <p>Final reports containing research and analysis, summary, and other relevant information produced for dissemination. May contain original research and analysis of market topics, trends, and events. Quantitative data analysis, trading, portfolio management, risk management, event analysis and the examination of topics ranging from market structure, new products and rule filings by exchanges.</p> <p>Final Disposition      <b>Temporary</b></p> <p>Item Status      <b>Active</b></p> <p>Is this item media neutral?      <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?      <b>Yes</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction      <b>Cut off at the end of the calendar year after creation of final report.</b></p> <p>Retention Period      <b>Destroy 10 year(s) after cutoff</b></p> <p><b>Additional Information</b></p> <p>GAO Approval      <b>Not Required</b></p>
1.2	<p><b>Supporting Documentation and Background Materials</b> Disposition Authority Number      <b>DAA-0266-2018-0006-0002</b></p> <p>Research and analysis support materials consisting of internal and external resources used in the production of competed reports.</p> <p>Final Disposition      <b>Temporary</b></p>

2	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 after creation of final report.
	Retention Period	Destroy 5 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Monitoring and Supervisory Records	
	Disposition Authority Number	DAA-0266-2018-0006-0003
	Records received or produced providing information by supervised entities on market developments, participants and their activities, or other inquiries of regulated entities, including related external correspondence and requests for confidential treatment. Records include, but are not limited to, the Risk Assessment Report for Brokers and Dealers (aka 17-H), Early Warning Rule (17A-11) reports, as well as information pertaining to the Consolidated Supervised Entities (CSE) Program, National Market System (NMS) Plans, Alternative Net Capital (ANC) Program, and Securities Investor Protection Corporation (SIPC) Oversight.	
	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	N1-266-94-002 / 1/b
	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

## 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
04/04/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/29/2020	Return for Revision	Esther Hidalgo	Archivist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
01/29/2020	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
01/29/2020	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
06/10/2020	Submit for Concurrence	Esther Hidalgo	Archivist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
06/16/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/16/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
06/22/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist