

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2018-0007
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 Trading and Markets
Schedule Subject Applications, Amendments, Exemptions, Filings, and Submissions Processing

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.
The securities rules require that entities conducting business in the securities industry register with the SEC by filing a registration statement. After the entities are registered, they must file additional disclosure, financial and other information with the SEC. Registrants include issuers of securities in registered transactions, reporting companies, investment companies, investment advisers, transfer agents, broker-dealers, self-regulatory organizations (exchanges, clearing agencies, MSRB, and FINRA). In addition, certain entities must file other submissions for approval, comment, or some other action by the Commission.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-0266-2018-0007

Sequence Number	
1	Registrations Disposition Authority Number: DAA-0266-2018-0007-0001
2	Product and Offering Registrations Disposition Authority Number: DAA-0266-2018-0007-0002

Records Schedule Items

Sequence Number	
1	<p>Registrations</p> <p>Disposition Authority Number DAA-0266-2018-0007-0001</p> <p>Applications for, and amendments to, registration of entities and persons, reports of activities other than risk assessment reports, filings, plans, internal background/ supporting materials produced by staff in the day-to-day support and maintenance of registrations, exemptions, exceptions, withdrawal from registration, and related external correspondence including requests for confidential treatment.</p> <p>Final Disposition Temporary</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>GRS or Superseded Authority Citation NC1-266-82-001 / 05 NC1-266-82-001 / 10 NC1-266-83-005 / 08 N1-266-94-002 / 01a N1-266-94-002 / 01c N1-266-94-002 / 04 N1-266-94-002 / 06 N1-266-94-002 / 08 N1-266-94-002 / 09</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the calendar year after withdrawal becomes effective.</p> <p>Retention Period Destroy 50 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Product and Offering Registrations</p> <p>Disposition Authority Number DAA-0266-2018-0007-0002</p>

Applications for, and amendments to registration of products and offering, withdrawn or delisted statements, and related external correspondence including requests for confidential treatment.

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 / 15b

Disposition Instruction

Cutoff Instruction Cut off at the end of the calendar year after withdrawal becomes effective.

Retention Period Destroy 15 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
04/10/2018	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
04/10/2018	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
04/10/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
08/03/2018	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
08/03/2018	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
08/03/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
10/11/2018	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
10/11/2018	Concur	Rachel BanTonkin	Supervisory Archives Specialist	National Archives and Records Administration - ACR1
10/18/2018	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program

				- ACNR Records Management Services
10/18/2018	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist