

Request for Records Disposition Authority

Records Schedule Number **DAA-0266-2018-0011**

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 **Agency-wide**

Schedule Subject **Publications and Reports of the Securities and Exchange Commission (SEC) with Continuing Historical Value**

Internal agency concurrences will be provided **No**

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

GAO Approval

Outline of Records Schedule Items for DAA-0266-2018-0011

Sequence Number	
1	Publications and Reports of the SEC with Continuing Historical Value Disposition Authority Number: DAA-0266-2018-0011-0001

Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 1321 415">Publications and Reports of the SEC with Continuing Historical Value</p> <p data-bbox="345 434 1149 464">Disposition Authority Number DAA-0266-2018-0011-0001</p> <p data-bbox="345 489 1536 1476">This schedule covers a collection of various materials of the SEC with continuing historical value, including: *Monthly and quarterly SEC Statistical Bulletins and weekly Statistical Series Releases with explanatory notes related to data on round-lot and odd-lot share volume in stock exchanges, over the counter (OTC), volume in selected securities, block distributions, securities registrations and offerings, net change in corporate securities outstanding, working capital of U.S. corporations, assets of non-insured pension funds, and Rule 144 filings and 8-K reports; *Directories of companies with securities listed on national securities exchanges, and/or securities traded OTC which are registered under Section 12 (g) of the Securities Exchange Act as a result of having securities registered under the Security Act of 1933. As of September 30, 1992, the directories include fillings of over 12,000 companies required to file annual reports with the SEC under the Securities and Exchange Act 1934; *Official summaries of SEC transactions related to reports filed with the SEC. The summaries omit reported data reflecting stock splits, stock dividends, rights, gifts, initial holdings, unchanged holdings of any additional class of security, and reports covering less than 100 shares purchased and sold combined during the months with respect to the class of security traded. They disclose the aggregate number of shares purchased, and the number of monthly shares sold with respect to each class of security traded by each reporting person. *Surveys of American Listed Corporations consisting of reported information on registrants with the SEC under the 1933 and 1934 Acts. The surveys include individual industry reports and special statistical studies; *Securities Violations Bulletin distributed to officials of cooperating law enforcement and other agencies in the U.S. and Canada. The bulletins name persons involved in securities violations and official actions taken; *Compiled SEC Speeches, and Decisions and Reports.</p> <p data-bbox="345 1497 919 1526">Final Disposition Permanent</p> <p data-bbox="345 1549 849 1579">Item Status Active</p> <p data-bbox="345 1602 805 1631">Is this item media neutral? No</p> <p data-bbox="345 1654 963 1684">Explanation of limitation Paper records</p> <p data-bbox="345 1707 805 1837">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p data-bbox="345 1875 659 1904">Disposition Instruction</p>

Transfer to the National Archives
for Accessioning

Transfer to the National Archives immediately after
approval of schedule

Additional Information

First year of records accumulation **1934**

End year of records accumulation **2013**

What will be the date span of the
initial transfer of records to the
National Archives? **From 1934 To 2013**

How frequently will your agency
transfer these records to the
National Archives? **Unknown**
**One-time transfer. Records no longer being
accumulated.**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	73 Cubic feet	
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
09/18/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
02/25/2022	Submit for Concurrency	Esther Hidalgo	Archives Specialist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
03/07/2022	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
03/07/2022	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
03/08/2022	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist