

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2019-0004

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 Advocate for Small Business Capital Formation

Schedule Subject Small Business Capital Formation Advisory Committee

Internal agency concurrences will be provided No

Background Information

The Office of the Advocate for Small Business Capital Formation (OASB) is an independent office that began operations in January 2019. It was established pursuant to the SEC Small Business Advocate Act of 2016 to advance the interests of small businesses and their investors at the SEC and in the capital markets. OASB advocates for small businesses and their investors by conducting outreach to solicit views on relevant capital formation issues, providing assistance to resolve significant problems, analyzing the potential small business impact of proposed regulations and rules, and recommending changes to mitigate capital formation issues and promote the interests of small businesses and their investors. The SEC Small Business Advocate Act established the Small Business Capital Formation Advisory Committee to provide the SEC with advice on SEC rules, regulations, and policies relating to capital formation across the spectrum of small businesses from emerging, privately-held companies to smaller public companies with less than \$250,000,000 in public market capitalization; trading in the securities of such companies; and public reporting and corporate governance requirements of such companies. The Small Business Advocate serves as a member of the Committee, and OASB provides support and assistance to assist the Committee in fulfilling its statutory mission. The Committee submits recommendations to the Commission, to which the Commission must respond.

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0266-2019-0004

Sequence Number	
1	Small Business Capital Formation Advisory Committee Official Records Disposition Authority Number: DAA-0266-2019-0004-0001
2	Routine Committee Records Disposition Authority Number: DAA-0266-2019-0004-0002

Records Schedule Items

Sequence Number	
1	<p>Small Business Capital Formation Advisory Committee Official Records</p> <p>Disposition Authority Number DAA-0266-2019-0004-0001</p> <p>Records include, but are not limited to, charters, records related to Committee membership, meeting minutes, transcripts, Committee member correspondence documenting discussions, decisions, or actions related to the work of the committee (excluding administrative or logistical matters), and Committee recommendations to the SEC.</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>Disposition Instruction</p> <p>Cutoff Instruction Cutoff at the end of the calendar year</p> <p>Retention Period Destroy 15 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Routine Committee Records</p> <p>Disposition Authority Number DAA-0266-2019-0004-0002</p> <p>Records of an administrative nature, including audio and video recordings of committee meetings that have been fully transcribed; Photographs of committee social functions, routine award events, and other non-mission-related activities; Records relating to logistical or administrative aspects of committee meetings and activities such as meeting location and access, IT support concerns, agenda planning, meeting arrangements, routine correspondence, and other logistical and administrative issues.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p>

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

Retention Period Destroy 3 year(s) after superseded, obsolete, no longer needed or when termination of the committee occurs, whichever is sooner

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
05/13/2019	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
05/14/2019	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
05/14/2019	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
05/14/2019	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
07/23/2020	Submit for Concurrence	Esther Hidalgo	Archivist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
08/04/2020	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/06/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
08/10/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist