

## Request for Records Disposition Authority

Records Schedule Number DAA-0266-2019-0005

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 U.S. Securities and Exchange Commission Staff interpretations

Internal agency concurrences will be provided No

Background Information The U.S. Securities and Exchange Commission (SEC) staffs' interpretations of existing federal securities laws or regulations. These staff interpretations provide guidance to those who must comply with the federal securities laws.

### 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0266-2019-0005

Sequence Number	
1	Formal Public Guidance and Staff Interpretations Disposition Authority Number: DAA-0266-2019-0005-0001
2	Informal Public Guidance and Staff Interpretations Disposition Authority Number: DAA-0266-2019-0005-0002
3	Supporting Documentation and Background Materials Disposition Authority Number: DAA-0266-2019-0005-0003

## Records Schedule Items

Sequence Number	
1	<p><b>Formal Public Guidance and Staff Interpretations</b></p> <p>Disposition Authority Number      <b>DAA-0266-2019-0005-0001</b></p> <p>Guidance records representing SEC staff's interpretations to individuals or entities who must comply with federal securities laws as to whether a particular product, service, or action would constitute a violation. Records include but are not limited to, Staff Legal Bulletins (SLBs) and No-Action Letter requests. Not included are interpretive releases by the Commission or by delegated authority, regarding various aspects of the federal securities laws and SEC regulations.</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>GRS or Superseded Authority Citation      <b>N1-266-77-002 / 83 in part</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cut off at the end of the calendar year after interpretation is issued.</b></p> <p>Retention Period                      <b>Destroy between 3 year(s) and 15 year(s) after cutoff</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                              <b>Not Required</b></p>
2	<p><b>Informal Public Guidance and Staff Interpretations</b></p> <p>Disposition Authority Number      <b>DAA-0266-2019-0005-0002</b></p> <p>Records of informal requests received from the public for interpretations of rules and regulations under the Acts administered by the Commission and SEC staff's subsequent response.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Active</b></p>

3	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	N1-266-77-002 / 83 in part
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year after interpretation is issued.
	Retention Period	Destroy between 3 year(s) and 15 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Supporting Documentation and Background Materials	
	Disposition Authority Number	DAA-0266-2019-0005-0003
	Internal background and supporting records used to prepare interpretations and No-Action Letters, including, but not limited to, substantive drafts, work papers, and internal memorandum.	
	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	N1-266-77-002 / 83 in part
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year after interpretation is issued.
	Retention Period	Destroy between 3 year(s) and 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
06/06/2019	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
04/01/2020	Return for Revision	Esther Hidalgo	Archivist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
04/03/2020	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
04/03/2020	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
07/10/2020	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
08/05/2020	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
08/05/2020	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist