

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2022-0002

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 Credit Ratings

Schedule Subject Exemptive Relief and No Action Letters

Internal agency concurrences will
be provided No

Background Information The Office of Credit Ratings (OCR) assists the Commission in executing its responsibility for protecting investors, promoting capital formation, and maintaining fair, orderly, and efficient markets through the oversight of credit rating agencies registered with the Commission as "nationally recognized statistical rating organizations" (NRSROs). In support of this mission, OCR monitors the activities and conducts examinations of registered NRSROs to assess and promote compliance with statutory and Commission requirements.

Item Count

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of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |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

GAO Approval

Outline of Records Schedule Items for DAA-0266-2022-0002

| Sequence Number | |
|-----------------|---|
| 1 | Exemptive Relief or No-Action Letters Involving NRSROs Disposition Authority Number: DAA-0266-2022-0002-0001 |

Records Schedule Items

| Sequence Number | |
|-----------------|---|
| 1 | <p>Exemptive Relief or No-Action Letters Involving NRSROs</p> <p>Disposition Authority Number DAA-0266-2022-0002-0001</p> <p>Records Related to Exemptive Relief or No-Action Letters Involving NRSROs. This item covers records provided by NRSROs to the Commission; supporting materials; staff work product, including, but not limited to, memoranda, term sheets, reports, comment summaries, briefing materials or work papers, and orders or no-action letters; and other records that staff deem necessary to retain, including meeting notes and internal and external correspondence.</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 DAA-0266-2016-0006-0004 DAA-0266-2016-0006-0005</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at the end of the calendar year in which the underlying matter is approved by the Commission or the staff, or closed, as applicable.</p> <p>Retention Period Destroy 20 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> |

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 |
|------------|------------------------|------------------|--|--|
| 02/08/2022 | Certify | Curt Francisco | Records Officer | Office of Support - Office of Records Management Services |
| 11/10/2022 | Submit for Concurrency | Robert Bennett | Appraisal Archivist | AC - AC |
| 11/15/2022 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 11/16/2022 | Concur | Laurence Brewer | Chief Records Officer | National Records and Archives Administration - National Records and Archives Administration |
| 11/16/2022 | Approve | Debra Wall | Deputy Archivist | National Archives and Records Administration - ND Archives I Office |