

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0266-2023-0001

Status: APPROVED  
Date Approved: 07/11/2023

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## General Information

Agency or Establishment	Securities and Exchange Commission
Record/Scheduling Group	0266 - Records of the Securities and Exchange Commission
Records Schedule Applies To	Agency Subdivision
Major Subdivision	Division of Trading and Markets
Schedule Subject	Self-Regulatory Organization Rule Filings
Additional Schedule 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.
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	No - the records covered by this schedule do not implicate Tribal interests

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## Item Count

Total number of disposition items: 1

Number of Temporary disposition items: 1

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0266-2023-0001

Item #	Title	Disposition
0001	Self-Regulatory Organization Rule Filings	Temporary

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Records Schedule Items

<b>DAA-0266-2023-0001-0001</b>		<b>STATUS: Active</b>	
<b>ITEM GENERAL INFORMATION</b>			
Item Title	Self-Regulatory Organization Rule Filings		
Item Description	<p>Self-regulatory organizations (SRO) are required to file all proposed rules and proposed rule changes with the U.S. Securities and Exchange Commission (SEC), which the SEC reviews and, where applicable, acts upon.</p> <p>SRO proposed rule change filing records comprise SRO proposed rule changes submitted to the SEC, including related forms, documents, and correspondence where applicable, as well as comment letters from the public on each proposal and Commission releases concerning each proposal.</p>		
Is this item media neutral?	Yes		
Is this item a Big Bucket?	No		
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>			
Does this item supersede existing disposition authorities?	Yes		
	Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation	
NC1-266-82-001 / 8	No		
Is this item a deviation from the GRS?	No		
<b>DISPOSITION INSTRUCTION</b>			
Final Disposition	Temporary		
Cutoff Instructions	Other: Cut off after self-regulatory organization no longer is registered.		
Retention Period	Destroy 6 year(s) after cutoff		
<b>ADDITIONAL INFORMATION</b>			
Are any of the records covered by this item national security classified?	No		
GAO Approval Required	No		

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Signatory Information

Action	User	Date
Approve	Colleen Shogan	07/11/2023