

National Archives and Records Administration
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0266-2024-0002

Status: APPROVED
Date Approved: 06/22/2024

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	Office of International Affairs
Schedule Subject	Office of International Affairs (OIA) Institute Files
Additional Schedule Information	Files contain general information on the SEC’s International Institute for Securities Market Development and on the SEC’s International Enforcement Training and Market Surveillance Institute Program, including information on programs, participants, speakers, and materials.
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: 2

Number of Temporary disposition items: 1

Number of Permanent disposition items: 1

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-0266-2024-0002

Item #	Title	Disposition
0001	Institute Subject Files	Permanent
0002	Participant Files	Temporary

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Records Schedule Number: DAA-0266-2024-0002

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Records Schedule Items

DAA-0266-2024-0002-0001		STATUS: Active	
ITEM GENERAL INFORMATION			
Item Title	Institute Subject Files		
Item Description	The records consist of training materials about securities regulation and market development, arranged by subject. The materials are used in the two annual Institutes the Commission conducts for representatives of equivalent agencies in foreign countries.		
Is this item media neutral?	No		
Media limitation	Digital only		
Is this item a Big Bucket?	No		
MANUAL CITATION			
Agency Code	0420-02-01		
Manual Title	SEC Comprehensive Records Schedule		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS			
Does this item supersede existing disposition authorities?	Yes		
	Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation	
N1-266-96-001 / 2/1	No		
Is this item a deviation from the GRS?	No		
DISPOSITION INSTRUCTION			
Final Disposition	Permanent		
Cutoff Instructions	Cut off at end of Calendar year.		
Are there multiple instructions for this item?	No		
Transfer Instruction	Transfer to the National Archives 15 year(s) after cutoff		
ADDITIONAL INFORMATION			
Current Records Format	Textual data:600 MB		
Approximate first year of records covered by this authority	2015		
End year of records covered by this authority	Still being created		
Date span of the initial transfer	From: --/--/2015 To: --/--/2030		
Frequency of transfer	1		

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Are any of the records covered by this item subject to a FOIA exemption? No

DAA-0266-2024-0002-0002		STATUS: Active	
ITEM GENERAL INFORMATION			
Item Title	Participant Files		
Item Description	Files are arranged by country and contain information on Institute participants.		
Is this item media neutral?	Yes		
Is this item a Big Bucket?	No		
MANUAL CITATION			
Agency Code	0420-02-02		
Manual Title	SEC Comprehensive Records Schedule		
SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS			
Does this item supersede existing disposition authorities?	Yes		
	Superseded Items		
Superseded Item	Item Superseded in Part?	Explanation	
N1-266-96-001/ 2/2	No		
Is this item a deviation from the GRS?	No		
DISPOSITION INSTRUCTION			
Final Disposition	Temporary		
Cutoff Instructions	Cut off at end of Calendar year.		
Retention Period	Destroy 10 year(s) after cutoff		
ADDITIONAL INFORMATION			
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	06/22/2024