

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0266-2024-0004

Status: APPROVED  
Date Approved: 04/22/2026

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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	Office of International Affairs
Schedule Subject	Office of International Affairs (OIA) Program Records
Additional Schedule Information	<p>The Office of International Affairs promotes investor protection in cross-border securities transactions by advancing international regulatory and enforcement cooperation, encouraging the adoption of high regulatory standards worldwide, and formulating technical assistance programs to strengthen the regulatory infrastructure in global financial markets.</p> <p>The Office of International Affairs staff also manage and execute the SEC's participation in international regulatory bodies, engage in regulatory dialogues with international counterparts, and provide technical assistance to strengthen partnerships with foreign authorities.</p> <p>As the primary coordinator for the SEC on significant international initiatives and developments, the Office of International Affairs advises the Commission and other agency officials in international enforcement and regulatory matters.</p> <p>This work helps ensure that international borders aren't used to escape detection and prosecution of fraudulent securities activities. Records consist of various program records maintained in OIA which are not otherwise scheduled.</p>
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: 4  
Number of Temporary disposition items: 3  
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-0266-2024-0004

<b>Item #</b>	<b>Title</b>	<b>Disposition</b>
0001	International Organization and Meetings	Temporary
0002	Office of International Affairs (OIA) Directors' Correspondence	Temporary
0003	Memoranda of Understanding	Permanent
0004	Memoranda of Understanding - Background Materials	Temporary

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Records Schedule Items

<b>DAA-0266-2024-0004-0001</b>		<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>		
Item Title	International Organization and Meetings	
Item Description	Reports and background information on international meetings in which OIA participates as part of its principal mission.	
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
N1-266-96-001 / 3/1	No	
N1-266-96-001 / 3/2	No	
Is this item a deviation from the GRS?	No	
<b>DISPOSITION INSTRUCTION</b>		
Final Disposition	Temporary	
Cutoff Instructions	Cut off at end of Calendar year after conference.	
Retention Period	Other: Destroy 5 years after cutoff, records of interest may be destroyed up to 25 years after cut off when needed for reference.	
<b>ADDITIONAL INFORMATION</b>		
Are any of the records covered by this item national security classified?	No	
GAO Approval Required	No	

<b>DAA-0266-2024-0004-0002</b>		<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Office of International Affairs (OIA) Directors' Correspondence	
Item Description	Correspondence files of the Director of the Office of International Affairs. The records consist of requests made by the Director to foreign governments for information.	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	No	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		

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Does this item supersede existing disposition authorities?	Yes
Superseded Items	
Superseded Item	Item Superseded in Part? Explanation
N1-266-98-001 / 2/a	Yes In part, for requests made by the Director to foreign governments for information
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Cutoff Instructions	Cut off at end of Calendar year when Director's tenure ends.
Retention Period	Destroy 7 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

DAA-0266-2024-0004-0003	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Memoranda of Understanding
Item Description	Record copies of Memoranda of Understanding relating to enforcement cooperation, supervisory cooperation, technical assistance and other cooperative arrangements with foreign regulators within the Office of International Affairs (OIA).
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?	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Permanent
Cutoff Instructions	Cut off at end of Calendar year when MOU is no longer in force
Are there multiple instructions for this item?	No
Transfer Instruction	Transfer to the National Archives 15 year(s) after cutoff
<b>ADDITIONAL INFORMATION</b>	

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Current Records Format	Textual data:250 GB
Approximate first year of records covered by this authority	1982
End year of records covered by this authority	Still being created
Are any of the records covered by this item subject to a FOIA exemption?	No

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<b>ITEM GENERAL INFORMATION</b>			
Item Title	Memoranda of Understanding - Background Materials		
Item Description	Background materials of Memoranda of Understanding (MOUs), to include work papers generated during MOU formation, and MOU meeting reports, closing memos, and analyses.		
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	
N1-266-96-001/5/1	No		
N1-266-96-001/5/2	No		
N1-266-96-001/5/3	No		
Is this item a deviation from the GRS?	No		
<b>DISPOSITION INSTRUCTION</b>			
Final Disposition	Temporary		
Cutoff Instructions	Cut off at end of Calendar year when MOU is no longer in force		
Retention Period	Destroy 3 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	Edward Forst (Acting Archivist)	04/22/2026



Office of the Chief  
Records Officer for the  
U.S. Government

This schedule was signed outside of the ERA system using Standard Form 115.

NARA staff updated ERA to reflect this approval, moving the record schedule into an approved status. The approved status allows for generation of a PDF indicating that the schedule has been approved, and allows an agency to use the schedule in ERA to create transfer requests. The approved date in the system and on the PDF version of the records schedule reflects the system actions.