

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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Records Schedule Number: DAA-0266-2024-0002

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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SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS		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Superseded Item	Superseded Items	
	Item Superseded in Part?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
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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
Accept	Esther Hidalgo	02/05/2024
Approve	Colleen Shogan	06/22/2024