

Request for Records Disposition Authority

Records Schedule Number **DAA-0266-2013-0004**

Schedule Status **Modified Approved Version**

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 Compliance Inspections and Examinations**

Schedule Subject **Office of Compliance Inspections and Examinations Records**

Internal agency concurrences will be provided **No**

Background Information

The Office of Compliance Inspections and Examinations (“OCIE”) protects investors through administering the Securities and Exchange Commission’s (“SEC”) nationwide examination and inspection program (the “National Examination Program” or “NEP”). Examiners in Washington DC and in the Commission’s 11 regional offices conduct examinations of the nation’s registered entities, including broker-dealers, transfer agents, investment advisers, investment companies, national securities exchanges, clearing agencies, self-regulatory organizations (“SROs”) such as the Financial Industry Regulatory Authority (“FINRA”) and the Municipal Securities Rulemaking Board and the Public Company Accounting Oversight Board (“PCAOB”). OCIE’s mission is to protect investors, ensure market integrity and support responsible capital formation through risk-focused strategies that: (1) improve compliance; (2) prevent fraud; (3) monitor risk; and (4) inform policy. The examination program plays a critical role in encouraging compliance within the securities industry, which in turn also helps to protect investors and the securities markets generally.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
7	0	7	0

GAO Approval

Outline of Records Schedule Items for DAA-0266-2013-0004

Sequence Number	
1	Documents Related to OCIE Examinations, Monitoring or Other Inquiries of Regulated Entities
1.1	Records related to OCIE examinations, monitoring projects or other inquiries of regulated entities Disposition Authority Number: DAA-0266-2013-0004-0001
1.2	Examination-planning materials and non-examination specific records related to registrants that are examined by OCIE. Disposition Authority Number: DAA-0266-2013-0004-0002
2	Public Materials Issued by the NEP Disposition Authority Number: DAA-0266-2013-0004-0003
3	NEP Administration Materials
3.1	Director's and Deputy Director's Files Disposition Authority Number: DAA-0266-2013-0004-0004
3.2	Internal guidance or administrative materials issued by OCIE concerning the NEP Disposition Authority Number: DAA-0266-2013-0004-0005
3.3	Checklists, tracking information access requests. Disposition Authority Number: DAA-0266-2013-0004-0006
4	Reports Related to Tips, Complaints, Referrals (pre-dating the Tips, Complaints and Referrals ("TCR") System) Disposition Authority Number: DAA-0266-2013-0004-0007

Records Schedule Items

Sequence Number	
1	Documents Related to OCIE Examinations, Monitoring or Other Inquiries of Regulated Entities
1.1	Records related to OCIE examinations, monitoring projects or other inquiries of regulated entities Disposition Authority Number DAA-0266-2013-0004-0001 Records related to OCIE examinations, monitoring projects or other inquiries of regulated entities: -Staff work product, including memoranda, reports and work papers; -External correspondence; and -Any other records that staff deem necessary to retain, including internal correspondence. Final Disposition Temporary Item Status Active Is this item media neutral? Yes Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes Do any of the records covered by this item exist as structured electronic data? Yes GRS or Superseded Authority Citation N1-266-91-01, items 37-1A & 37-1B Disposition Instruction Cutoff Instruction Cut off at the end of the calendar year in which the underlying matter is closed. Retention Period Destroy 10 year(s) after cutoff Additional Information GAO Approval Not Required
1.2	Examination-planning materials and non-examination specific records related to registrants that are examined by OCIE. Disposition Authority Number DAA-0266-2013-0004-0002 Final Disposition Temporary Item Status Active Is this item media neutral? Yes

2	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	N1-266-91-01, items 37-1A & 37-1B
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year in which either the underlying matter is closed or the document is received (whichever is later).
	Retention Period	Destroy 10 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
	Public Materials Issued by the NEP	
	Disposition Authority Number	DAA-0266-2013-0004-0003
	NEP-published materials including, but not limited to Risk Alerts, Speeches, and public OCIE materials regarding examinations (e.g. the Exam Brochure and Annual National Examination Priorities).	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year in which the document is published.
	Retention Period	Destroy 20 year(s) after cutoff
	Additional Information	
GAO Approval	Not Required	

3	NEP Administration Materials
3.1	Director's and Deputy Director's Files
	Disposition Authority Number DAA-0266-2013-0004-0004
	Director's and Deputy Director's files documenting official duties, including official correspondence sent to or from the Office of the Director.
	Final Disposition Temporary
	Item Status Inactive
	Is this item media neutral? Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes
	Do any of the records covered by this item exist as structured electronic data? Yes
	Inactive Status Explanation This item is inactive because it was superseded by New Disposition Authority Number: DAA-0266-2014-0009-0004
	Disposition Instruction
	Cutoff Instruction Cut off at the end of the calendar year in which the tenure of the Director or Deputy Director, as applicable, ends.
	Retention Period Destroy 10 year(s) after cutoff
	Additional Information
	GAO Approval Not Required
3.2	Internal guidance or administrative materials issued by OCIE concerning the NEP
	Disposition Authority Number DAA-0266-2013-0004-0005
	Internal guidance or administrative materials issued by OCIE concerning the NEP, including but not limited to legal guidance, program-related briefing materials, program-related project materials, committee or working group materials and any other records, relating to administration of the NEP, that staff deem necessary to retain.
	Final Disposition Temporary
	Item Status Active
	Is this item media neutral? Yes
	Do any of the records covered by this item currently exist in

	electronic format(s) other than e-mail and word processing?	
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cut off at the end of the calendar year in which either the materials are superseded or no longer in use (whichever is later), or the underlying matter is closed, as applicable.
	Retention Period	Destroy 10 year(s) after cutoff
	Additional Information	
	GAO Approval	Not Required
3.3	Checklists, tracking information access requests.	
	Disposition Authority Number	DAA-0266-2013-0004-0006
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	Disposition Instruction	
	Cutoff Instruction	Cutoff upon approval of this schedule.
	Retention Period	Destroy immediately after cutoff
	Additional Information	
	GAO Approval	Not Required
4	Reports Related to Tips, Complaints, Referrals (pre-dating the Tips, Complaints and Referrals ("TCR") System)	
	Disposition Authority Number	DAA-0266-2013-0004-0007
	Tips, complaints and referrals received by OCIE staff, which are not maintained on the TCR system (e.g. tips, complaints and referral records that predate the TCR system) and records related thereto.	

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	Yes
Disposition Instruction	
Cutoff Instruction	Cut off at the end of the calendar year in which the document was received or the related examination was performed (whichever is later).
Retention Period	Destroy 10 year(s) after cutoff
Additional Information	
GAO Approval	Not Required

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
08/12/2013	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/19/2014	Submit for Concur rence	Lauren Crisler	Appraiser	National Archives and Records Administration - Records Management Services
12/29/2014	Concur	Margaret Hawkins	Director of Records Management Servic es	National Records Management Program - Records Management Services
01/08/2015	Concur	Laurence Brewer	Director, National R ecords Management Program	National Archives and Records Administration - National Records Management Program
01/12/2015	Approve	David Ferriero	Archivist of the Unite d States	Office of the Archivist - Office of the Archivist