

## Request for Records Disposition Authority

Records Schedule Number      DAA-0266-2014-0009  
Schedule Status                Approved  
  
Agency or Establishment        Securities and Exchange Commission  
Record Group / Scheduling Group   Records of the Securities and Exchange Commission  
Records Schedule applies to    Agency-wide  
Schedule Subject                Tips, Complaints, and Referrals (TCR) Intake and Resolution System  
Internal agency concurrences will be provided      No

Background Information        The TCR Intake and Resolution System (TCR System) is an SEC-wide system that centralizes all tips, complaints and referrals (TCRs) received by the SEC alleging possible violations of the federal securities laws. The mission of the SEC is to protect investors, maintain fair, orderly, and efficient markets, and facilitate capital formation. In the pursuit of its mission, the SEC receives hundreds of thousands of incoming communications through a variety of means into each of the SEC's divisions, offices, and regional offices. These communications include information from the general public, attorneys and members of the regulated community, which includes, but is not limited to, broker-dealers, investment advisors, self-regulatory organizations (SROs), and public companies. Typical examples include information regarding misconduct or risks involving public companies, securities professionals, registered entities and associated persons, as well as frauds affecting individual investors such as Ponzi schemes or boiler-room operations. Commission personnel are required, pursuant to the Commission-wide Policies and Procedures for handling TCRs, to enter any communication received from the public, another government agency, or a self-regulatory organization (SRO) that qualifies as a TCR. While the identification of a TCR is not always obvious and may require professional judgment, if in doubt, SEC staff must treat the matter as a TCR and enter it into the TCR System. In addition, the SEC receives referrals from SROs based on the information collected by the SROs and reported to the SEC for further consideration.

The TCR System collects and stores TCRs in a central database and work flow system, and makes them accessible to authorized SEC staff. The centralization and ability to establish connections among TCRs enhances the SEC's ability to identify potential violations of the federal securities laws and to ensure appropriate

and timely responses to allegations of wrongdoing. The TCR System is governed by the TCR Oversight Board, whose objectives and responsibilities are outlined in its Charter. The TCR System is an important surveillance and management tool, but the ability of the TCR System to further the SEC's mission ultimately depends on the diligence and good judgment of those who enter, evaluate and resolve TCRs. The Commission-wide Policies and Procedures for handling TCRs helps ensure the effective functioning of the TCR System by outlining the proper methods, analyses, and considerations that all SEC personnel should undertake when entering and handling TCRs.

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 2                                 | 0                                     | 2                                     | 0                                     |

GAO Approval

## Outline of Records Schedule Items for DAA-0266-2014-0009

| Sequence Number |   |
|-----------------|---|
| 1               | Master File<br>Disposition Authority Number: DAA-0266-2014-0009-0001                            |
| 2               | TCRs Maintained Outside the TCR System<br>Disposition Authority Number: DAA-0266-2014-0009-0002 |

## Records Schedule Items

| Sequence Number |  |
|-----------------|--|
| 1               | <p data-bbox="373 404 527 436"><b>Master File</b></p> <p data-bbox="373 457 1153 489">Disposition Authority Number      <b>DAA-0266-2014-0009-0001</b></p> <p data-bbox="373 510 1510 1436"> <b>External form submitters include the general public, other U.S. and foreign regulators, SROs, attorneys and financial professionals, among others. Users enter the TCR information from www.sec.gov through TCR intake forms, along with any related documents. The external application will invoke a webservice to submit the intake information to the internal workflow system. TCR information can also be submitted internally by SEC staff, when the tips and complaints arrived at the SEC via hard copy, fax or email. Specifically, internal users enter free form text through TCR internal application. In connection with intake into the internal portal, all hard copy documents will be scanned in via the SEC's document management center and intake will be performed manually by specially trained paralegals, following the Commission-wide and Division and Office specific TCR Policies and Procedures. TCRs received by SEC staff ("TCR Entries") through the external portal and those arriving for internal portal entry, and records related thereto may include, but are not limited to, documents generated prior to the opening of a Matter Under Investigation (MUI) or commencement of an exam. All TCR Entries will be assessed and reassigned to the respective groups for consideration for MUI or exam opening. This is done by invoking a business process management (BPM) process. NOTE: Information or documentation contained in TCR Entries that becomes part of an examination, investigation, or other Division/Office-specific business purpose must be retained in accordance with the NARA-approved records retention schedule covering the examination, investigation, or other business process of the assigned Division/Office. At the time of the first scheduled deletion, the 20-year retention period will be re-examined before deletion takes place to determine whether or not the 20-year time frame is sufficient, or if a longer retention period is needed for trends analysis, or other historical purposes.</b> </p> <p data-bbox="373 1457 933 1489">Final Disposition                      <b>Temporary</b></p> <p data-bbox="373 1510 868 1542">Item Status                                <b>Active</b></p> <p data-bbox="373 1564 820 1596">Is this item media neutral?            <b>No</b></p> <p data-bbox="373 1617 1063 1649">Explanation of limitation              <b>Master File of an EIS</b></p> <p data-bbox="373 1670 836 1787">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?        <b>Yes</b></p> <p data-bbox="373 1808 836 1893">Do any of the records covered by this item exist as structured electronic data?                            <b>Yes</b></p> |

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Disposition Instruction

Cutoff Instruction                      Cut off at the end of the calendar year.  
Retention Period                        Destroy 20 year(s) after cutoff

Additional Information

GAO Approval                            Not Required

TCRs Maintained Outside the TCR System

Disposition Authority Number        DAA-0266-2014-0009-0002

TCR-related documentation which did not require further action and is not captured in the TCR system, to include legacy materials which predate the TCR System. NOTE: TCR-related documentation which did require further action and is not captured in the TCR system, to include legacy materials which predate the TCR System must be retained by the assigned Division/Office in accordance with the NARA-approved records retention schedule covering the examination, investigation, or other business process. TCR Entries assigned to and maintained by Divisions and Offices that become a part of, and is appropriate for preservation within a a new or ongoing examination, investigation, or other Division/Office-specific business process or purpose must be retained by the assigned Division/Office in accordance with the NARA-approved records retention schedule covering the examination, investigation, or other business process.

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    N1-266-09-004, item 001and DAA-266-2013-0004, Item 004

Disposition Instruction

Cutoff Instruction                        Cutoff at the end of the calendar year after an inquiry deemed NO FURTHER ACTION (NFA), upon conclusion of investigation or examination, or after referral, whichever applicable.

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   |
|------------|--------------------------|------------------|--|--|
| 06/20/2014 | Certify                  | Curt Francisco   | Records Officer                            | Office of Support -<br>Office of Records<br>Management Services                          |
| 02/11/2015 | Return for Revision      | Lauren Crisler   | Appraiser                                  | National Archives and<br>Records Administration<br>- Records Management<br>Services      |
| 03/10/2015 | Submit For Certification | Curt Francisco   | Records Officer                            | Office of Support -<br>Office of Records<br>Management Services                          |
| 03/10/2015 | Certify                  | Curt Francisco   | Records Officer                            | Office of Support -<br>Office of Records<br>Management Services                          |
| 07/08/2015 | Return for Revision      | Lloyd Beers      | Appraisal Archivist                        | National Archives and<br>Records Administration<br>- ACNR Records<br>Management Services |
| 08/27/2015 | Submit For Certification | Curt Francisco   | Records Officer                            | Office of Support -<br>Office of Records<br>Management Services                          |
| 08/27/2015 | Certify                  | Curt Francisco   | Records Officer                            | Office of Support -<br>Office of Records<br>Management Services                          |
| 09/25/2015 | Submit for Concurrence   | Lloyd Beers      | Appraisal Archivist                        | National Archives and<br>Records Administration<br>- ACNR Records<br>Management Services |
| 10/01/2015 | Concur                   | Margaret Hawkins | Director of Records<br>Management Services | National Records<br>Management Program<br>- ACNR Records<br>Management Services          |

|            |         |                 |   |  |
|------------|---------|-----------------|---|--|
| 10/02/2015 | Concur  | Laurence Brewer | Director, National Records Management Program | National Archives and Records Administration - National Records Management Program |
| 10/05/2015 | Approve | David Ferriero  | Archivist of the United States                | Office of the Archivist - Office of the Archivist                                  |