

## Request for Records Disposition Authority

Records Schedule Number      DAA-0266-2015-0003

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              Major Subdivision

Major Subdivision                      Office of Compliance Inspections and Examinations (OCIE)

Schedule Subject                      Tracking Reporting Examination National Documentation System (TRENDS)

  

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 nationwide examination and inspection program (the “National Examination Program”). 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 such as the Financial Industry Regulatory Authority, the Municipal Securities Rulemaking Board, and the Public Company Accounting Oversight Board. 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 National 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of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 2                                 | 0                                     | 2                                     | 0                                     |

### GAO Approval

## Outline of Records Schedule Items for DAA-0266-2015-0003

| Sequence Number |  |
|-----------------|--|
| 1               | Master File  |
| 1.1             | Data Entered Into TRENDS Data Fields<br>Disposition Authority Number: DAA-0266-2015-0003-0001    |
| 1.2             | Files Uploaded to TRENDS as Attachments<br>Disposition Authority Number: DAA-0266-2015-0003-0002 |

## Records Schedule Items

| Sequence Number   |  |                              |                         |                   |           |             |        |                             |    |                           |   |   |     |   |     |                                |  |                    |   |                  |   |                               |  |              |              |
|---|--|------------------------------|-------------------------|-------------------|-----------|-------------|--------|-----------------------------|----|---------------------------|---|---|-----|---|-----|--------------------------------|--|--------------------|---|------------------|---|-------------------------------|--|--------------|--------------|
| 1   | <p><b>Master File</b><br/>The Tracking Reporting Examination National Documentation System (TRENDS) is an Information Technology system application that OCIE implemented in 2011 to provide a web-based examination platform and workpaper retention function. TRENDS combines a workflow component with document management; workpaper organization; program reporting; and data tracking and analysis. TRENDS replaced Super Tracking and Reporting System (STARS) and the data collected in the STARS was migrated to TRENDS. Therefore, data contained in TRENDS spans from 1981 to the present. TRENDS captures each examination's purpose, scope, risk assessment, findings, and appropriate statistical data. The Master File includes two components maintained in separate databases:</p>  |                              |                         |                   |           |             |        |                             |    |                           |   |   |     |   |     |                                |  |                    |   |                  |   |                               |  |              |              |
| 1.1   | <p><b>Data Entered Into TRENDS Data Fields</b></p> <table border="0"> <tr> <td>Disposition Authority Number</td> <td>DAA-0266-2015-0003-0001</td> </tr> <tr> <td>Final Disposition</td> <td>Temporary</td> </tr> <tr> <td>Item Status</td> <td>Active</td> </tr> <tr> <td>Is this item media neutral?</td> <td>No</td> </tr> <tr> <td>Explanation of limitation</td> <td>This is a master file of an electronic system</td> </tr> <tr> <td>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?</td> <td>Yes</td> </tr> <tr> <td>Do any of the records covered by this item exist as structured electronic data?</td> <td>Yes</td> </tr> <tr> <td colspan="2"><b>Disposition Instruction</b></td> </tr> <tr> <td>Cutoff Instruction</td> <td>Cut off at the end of the calendar year in which the underlying matter is closed.</td> </tr> <tr> <td>Retention Period</td> <td>Destroy/delete 10 years after cutoff, or when no longer needed for business purposes.</td> </tr> <tr> <td colspan="2"><b>Additional Information</b></td> </tr> <tr> <td>GAO Approval</td> <td>Not Required</td> </tr> </table> | Disposition Authority Number | DAA-0266-2015-0003-0001 | Final Disposition | Temporary | Item Status | Active | Is this item media neutral? | No | Explanation of limitation | This is a master file of an electronic system | 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 | <b>Disposition Instruction</b> |  | Cutoff Instruction | Cut off at the end of the calendar year in which the underlying matter is closed. | Retention Period | Destroy/delete 10 years after cutoff, or when no longer needed for business purposes. | <b>Additional Information</b> |  | GAO Approval | Not Required |
| Disposition Authority Number  | DAA-0266-2015-0003-0001  |                              |                         |                   |           |             |        |                             |    |                           |   |   |     |   |     |                                |  |                    |   |                  |   |                               |  |              |              |
| Final Disposition   | Temporary  |                              |                         |                   |           |             |        |                             |    |                           |   |   |     |   |     |                                |  |                    |   |                  |   |                               |  |              |              |
| Item Status   | Active   |                              |                         |                   |           |             |        |                             |    |                           |   |   |     |   |     |                                |  |                    |   |                  |   |                               |  |              |              |
| Is this item media neutral?   | No   |                              |                         |                   |           |             |        |                             |    |                           |   |   |     |   |     |                                |  |                    |   |                  |   |                               |  |              |              |
| Explanation of limitation   | This is a master file of an electronic system  |                              |                         |                   |           |             |        |                             |    |                           |   |   |     |   |     |                                |  |                    |   |                  |   |                               |  |              |              |
| 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  |                              |                         |                   |           |             |        |                             |    |                           |   |   |     |   |     |                                |  |                    |   |                  |   |                               |  |              |              |
| <b>Disposition Instruction</b>  |  |                              |                         |                   |           |             |        |                             |    |                           |   |   |     |   |     |                                |  |                    |   |                  |   |                               |  |              |              |
| Cutoff Instruction  | Cut off at the end of the calendar year in which the underlying matter is closed.  |                              |                         |                   |           |             |        |                             |    |                           |   |   |     |   |     |                                |  |                    |   |                  |   |                               |  |              |              |
| Retention Period  | Destroy/delete 10 years after cutoff, or when no longer needed for business purposes.  |                              |                         |                   |           |             |        |                             |    |                           |   |   |     |   |     |                                |  |                    |   |                  |   |                               |  |              |              |
| <b>Additional Information</b>   |  |                              |                         |                   |           |             |        |                             |    |                           |   |   |     |   |     |                                |  |                    |   |                  |   |                               |  |              |              |
| GAO Approval  | Not Required   |                              |                         |                   |           |             |        |                             |    |                           |   |   |     |   |     |                                |  |                    |   |                  |   |                               |  |              |              |
| 1.2   | <p><b>Files Uploaded to TRENDS as Attachments</b></p> <table border="0"> <tr> <td>Disposition Authority Number</td> <td>DAA-0266-2015-0003-0002</td> </tr> </table>  | Disposition Authority Number | DAA-0266-2015-0003-0002 |                   |           |             |        |                             |    |                           |   |   |     |   |     |                                |  |                    |   |                  |   |                               |  |              |              |
| Disposition Authority Number  | DAA-0266-2015-0003-0002  |                              |                         |                   |           |             |        |                             |    |                           |   |   |     |   |     |                                |  |                    |   |                  |   |                               |  |              |              |

|   |   |
|---|---|
| Final Disposition   | Temporary   |
| Item Status   | Active  |
| Is this item media neutral?   | No  |
| Explanation of limitation   | This is a master file of an electronic system   |
| 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   |
| <b>Disposition Instruction</b>  |   |
| Cutoff Instruction  | Cut off at the end of the calendar year in which the underlying matter is closed.   |
| Retention Period  | Destroy/delete 10 years after cutoff in conjunction with other records related to the underlying matter consistent with OCIE's Records Schedule DAA-0266-2013-0004, Item 1. |
| <b>Additional Information</b>   |   |
| 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  |
|------------|--------------------------|------------------|--|---|
| 07/09/2015 | Certify                  | Curt Francisco   | Records Officer                                  | Office of Support -<br>Office of Records<br>Management Services                             |
| 11/04/2015 | Return for Revision      | Lloyd Beers      | Appraisal Archivist                              | National Archives and<br>Records Administration<br>- ACNR Records<br>Management Services    |
| 06/06/2016 | Submit For Certification | Curt Francisco   | Records Officer                                  | Office of Support -<br>Office of Records<br>Management Services                             |
| 06/06/2016 | Certify                  | Curt Francisco   | Records Officer                                  | Office of Support -<br>Office of Records<br>Management Services                             |
| 08/31/2016 | Submit for Concurrence   | Lloyd Beers      | Appraisal Archivist                              | National Archives and<br>Records Administration<br>- ACNR Records<br>Management Services    |
| 09/02/2016 | Concur                   | Margaret Hawkins | Director of Records<br>Management Services       | National Records<br>Management Program<br>- ACNR Records<br>Management Services             |
| 09/02/2016 | Concur                   | Laurence Brewer  | Director, National Records<br>Management Program | National Archives and<br>Records Administration<br>- National Records<br>Management Program |
| 09/06/2016 | Approve                  | David Ferriero   | Archivist of the United States                   | Office of the Archivist -<br>Office of the Archivist  |