

Request for Records Disposition Authority

Records Schedule Number DAA-0266-2019-0001

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 Division of Enforcement

Schedule Subject Division of Enforcement Case Management and Tracking System (HUB)

Internal agency concurrences will be provided No

Background Information

The SEC Division of Enforcement (ENF) investigates possible violations of securities laws and recommends the appropriate legal action to be taken by the Commission. The Division maintains a web-based case tracking system, known as the Hub, which has been in use since 2007. Hub replaced the previous case tracking system known as CATS 2000. The data contained in CATS 2000, which spanned from the 1970's to the time of the system's decommissioning, was entirely migrated into Hub. In addition to the system's ongoing use, the data contained in the Hub also serves as a reference repository for past Commission enforcement actions against entities or individuals, and the ongoing enforcement or tracking of any previously ordered sanctions.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
1	0	1	0

GAO Approval

Outline of Records Schedule Items for DAA-0266-2019-0001

Sequence Number

1

Master File

Disposition Authority Number: DAA-0266-2019-0001-0001
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Records Schedule Items

Sequence Number	
1	<p data-bbox="354 406 516 431">Master File</p> <p data-bbox="354 459 1133 485">Disposition Authority Number DAA-0266-2019-0001-0001</p> <p data-bbox="354 512 1476 917">The Hub case tracking system gives the Division the ability to track information about all ENF matters nationwide, including Matters Under Inquiry (MUIs), Investigations (INV), and related actions, including litigation, collections, distributions, and any other post-judgment activities. The information contained in the case tracking system includes the matter name and assigned tracking number, matter origin, parties related to matter, and witnesses, staff notes, the ongoing progress and status of a case, and the opening and closing reports. Data is entered when a new MUI or INV is opened, and is augmented as needed during each phase of the matter until the matter is closed. The data captured by the system provides the basis for ENF program reporting as well as case tracking and data analysis.</p> <p data-bbox="354 938 911 963">Final Disposition Temporary</p> <p data-bbox="354 991 846 1017">Item Status Active</p> <p data-bbox="354 1044 813 1070">Is this item media neutral? Yes</p> <p data-bbox="354 1098 813 1208">Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p data-bbox="354 1236 813 1325">Do any of the records covered by this item exist as structured electronic data? Yes</p> <p data-bbox="354 1364 659 1389">Disposition Instruction</p> <p data-bbox="354 1417 1463 1485">Cutoff Instruction Cut off at the end of the calendar year when case is closed or becomes inactive.</p> <p data-bbox="354 1513 1398 1581">Retention Period Destroy/delete 50 years after cutoff or when no longer needed for business purposes.</p> <p data-bbox="354 1619 656 1644">Additional Information</p> <p data-bbox="354 1672 938 1698">GAO Approval Not Required</p>

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
10/23/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/07/2018	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
04/24/2019	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
04/24/2019	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
08/14/2019	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
08/20/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
08/21/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
08/22/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist