

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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 Disposition Authority Number: DAA-0266-2015-0003-0001
1.2	Files Uploaded to TRENDS as Attachments Disposition Authority Number: DAA-0266-2015-0003-0002

Records Schedule Items

Sequence Number																					
1	<p>Master File</p> <p>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>Data Entered Into TRENDS Data Fields</p> <table> <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> </table> <p>Disposition Instruction</p> <table> <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> </table> <p>Additional Information</p> <table> <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	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.	GAO Approval	Not Required
Disposition Authority Number	DAA-0266-2015-0003-0001																				
Final Disposition	Temporary																				
Item Status	Active																				
Is this item media neutral?	No																				
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1.2	<p>Files Uploaded to TRENDS as Attachments</p> <table> <tr> <td>Disposition Authority Number</td><td>DAA-0266-2015-0003-0002</td></tr> </table>	Disposition Authority Number	DAA-0266-2015-0003-0002																		
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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
Disposition Instruction	
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.
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
07/09/2015	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
11/04/2015	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
06/06/2016	Submit For Certification	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
06/06/2016	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
08/31/2016	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
09/02/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
09/02/2016	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
09/06/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist