

Request for Records Disposition Authority

Records Schedule Number **DAA-0266-2018-0009**

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) Files**

Internal agency concurrences will be provided **No**

Background Information **Tips, Complaints, and Referrals (TCR) Files**

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	0	3	0

GAO Approval

Outline of Records Schedule Items for DAA-0266-2018-0009

Sequence Number	
1	Tips, Complaints and Referrals (TCR) Files Disposition Authority Number: DAA-0266-2018-0009-0001
2	TCR Administrative Files Disposition Authority Number: DAA-0266-2018-0009-0002
3	TCR Oversight Board Files Disposition Authority Number: DAA-0266-2018-0009-0003

Records Schedule Items

Sequence Number	
1	<p>Tips, Complaints and Referrals (TCR) Files</p> <p>Disposition Authority Number DAA-0266-2018-0009-0001</p> <p>These files consist of the tips, complaints, and referrals (TCRs) received by the SEC, from both internal and external sources, alleging possible violations of the federal securities laws, and the evaluation of the TCRs for further action. These records include, but are not limited to, the initial TCR; evaluations of the TCR for further action, notes, supporting materials and other substantive documentation, TCR workflow and audit history, information regarding linkages to related cases, correspondence, outcome of correspondence captured in notes, and referral information or justification for TCR closure.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>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>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>GRS or Superseded Authority Citation DAA-0266-2014-0009-0001 DAA-0266-2014-0009-0002</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off when the TCR is closed or when the TCR is assigned or referred to another Division or Office within the SEC or outside the Commission</p> <p>Retention Period Destroy 20 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>TCR Administrative Files</p> <p>Disposition Authority Number DAA-0266-2018-0009-0002</p> <p>These files are created in support of the administrative activities of the TCR program. These records include, but are not limited to, quality control and data governance documentation; administrative actions, user guides; assessments of</p>

processes, procedures, and system functionality, white papers, reports, and all other substantive TCR administrative materials

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 activity, or when no longer needed for business, whichever is later

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

TCR Oversight Board Files

Disposition Authority Number DAA-0266-2018-0009-0003

These files are created by the Tips, Complaints, and Referrals (TCR) Oversight Board, in their capacity as the decision-making body that monitors and manages the Commission's TCR program. These records include, but are not limited to, the Board Charter, meeting minutes, agendas, high-level strategic direction, governance documentation, TCR program monitoring and management documentation, reports, and all other applicable documentation.

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

3

Cutoff Instruction	Cut off at the end of the fiscal year, or when superseded or obsolete, 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
07/09/2018	Certify	Curt Francisco	Records Officer	Office of Support - Office of Records Management Services
12/02/2019	Submit for Concurrency	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
12/04/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/04/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
12/09/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist