



NATIONAL
ARCHIVES

January 24, 2017

Mr. Curt Francisco
Securities and Exchange Commission
100 F Street, NE Room 1109/SP1
Washington, DC 20549

Dear Mr. Francisco:

The National Archives and Records Administration (NARA) has become aware of a possible unauthorized disposition of Securities and Exchange (SEC) records based on an inquiry submitted by Mr. Taylor Scott Amarel (see enclosure letter). Mr. Amarel alleges unauthorized destruction and improper handling and maintenance of whistleblower files. He also alleges SEC government employees are inappropriately using personal email accounts to conduct agency business.

In accordance with 36 CFR 1230.16(b), NARA is requesting that SEC provide us with a response within 30 calendar days identifying the specific actions SEC will take to investigate these allegations, and if appropriate, the steps SEC will take to mitigate future risk. If SEC determines that an unauthorized destruction has occurred, then SEC must submit a report to NARA as described in 36 CFR 1230.14. In your report, please indicate if the specific records outlined in the allegation can be recovered or recreated from other sources.

Thank you for your cooperation. If you have any questions, please contact Dawn Sherman-Fells, Archivist & Senior Records Analyst, at 301.837.2083 or by email at Dawn.Sherman@nara.gov.

Sincerely,

LAURENCE BREWER
Chief Records Officer
for the U.S. Government

NATIONAL ARCHIVES *and*
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April 5, 2018

Mr. Barry D. Walters
Director of Office of Support Operations
100 F Street, NE
Washington, DC 20549
waltersb@sec.gov

Dear Mr. Walters:

Thank you for your letter dated April 3, 2018 informing the National Archives and Records Administration (NARA) that the SEC Office of Inspector General (OIG) has closed its case related to claims of improper records management practices at the SEC made by Mr. Taylor Scott Amarel. In your letter you inform us that the OIG found no information to substantiate the allegations made by Mr. Amarel and the case was closed without action.

We accept the OIG's findings and consider this case closed.

Thank you for your cooperation in this matter.

Sincerely,

LAURENCE BREWER
Chief Records Officer
for the U.S. Government

CC
Curt Francisco
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