



NATIONAL ARCHIVES *and* RECORDS ADMINISTRATION
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Sent Via Email. No Hard Copy to Follow.

May 28, 2019

Mr. Curt Francisco
SEC Records Officer
Office of Records Management Services
Office of Support Operations
U.S. Securities & Exchange Commission
franciscoc@sec.gov

Dear Mr. Francisco:

The National Archives and Records Administration received your letter dated May 9, 2019 documenting the loss of 202 out of 39,199 records within the Tips, Complaints, and Referrals (TRC) electronic information system during a system migration. Following the modernization and upgrade of the TCR system to version 3.0, the SEC conducted a gap analysis to identify any data that had not been migrated to the new system prior to decommissioning the previous versions of the system. This analysis identified the loss of records. SEC staff examined available associated records to determine the extent to which these records could be recovered, and determined that they cannot be fully reconstituted. While recovery efforts were not complete, some data was recovered and exported. The SEC's Chief Information Officer is assured that no other legacy or contemporary TCRs are at risk for loss.

NARA accepts your report and considers this matter closed.

Sincerely,

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