



Office of the Chief  
Records Officer for the  
U.S. Government

***Sent Via Email. No Hard Copy to Follow.***

May 2, 2024

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

Dear Curt Francisco,

The National Archives and Records Administration (NARA) acknowledges receipt of the Securities and Exchange Commission (SEC) report on the partial loss of inactive case files.

According to the report, the records were lost due to human error. Approximately 5 boxes of Matter Under Inquiry (MUI) and Division of Enforcement (ENF) investigative case file records were inadvertently placed in a secure disposal container. ENF attempted to recover the records, however, the boxes had already been collected for disposal.

We further understand that to prevent future loss of records, ENF will provide mandatory refresher training in addition to planned annual training and add a secondary approval review step to disposal instructions.

Based on the information provided, the reporting requirements of 36 CFR 1230.14(a) have been met and NARA considers this matter closed. I appreciate your attention on this important matter. If you have any questions or wish to discuss further, please contact me at [laurence.brewer@nara.gov](mailto:laurence.brewer@nara.gov).

Sincerely,

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