

#..SEC-16

System name:

Administrative Law Judge Assignments and Dispositions of Administrative Proceedings--SEC.

System location:

Securities and Exchange Commission, 450 Fifth Street, NW, Washington, DC 20549.

Categories of individuals covered by the system:

Records are maintained on Administrative Law Judges.

Categories of records in the system:

The records identify each pending administrative proceeding and the administrative law judge to whom it is assigned. They also contain statistical data relating to number of assignments and the time involved in disposition of assignments.

Authority for maintenance of the system:

Title 15, United States Code, section 78d; Pub. L. 87-592, 76 Stat. 394; 17 CFR 200.30-9.200.30-10.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The records and the information in the records may be used as follows:

1. To determine workload and accomplishment of each Administrative Law Judge.
2. To aid the Chief Administrative Law Judge in determining appropriate assignments to administrative proceedings.
3. To aid in projecting budget requirements for the Office of Administrative Law Judges.
4. As a data source for management information for production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained or for related personnel management functions or manpower studies.

Records or information in records contained in this system may be disclosed to members of advisory committees that are created by the Commission or by the Congress to render advice and recommendations to the Commission or to the Congress, to be used solely in connection with their official, designated functions. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are maintained in file folders and are compiled in typewritten form.

Retrievability:

The system is indexed by the name of administrative law judge.

Safeguards:

The records are stored in private office of the Chief Administrative Law Judge. Physical security is provided by a 24-hour security guard at the main entrance to the building.

Retention and disposal:

Records are maintained for at least a ten (10) year period, after which they are disposed of by shredding.

System manager(s) and address:

Chief Administrative Law Judge, Securities and Exchange Commission, 450 Fifth Street NW, Washington, DC 20549.

Notification procedure:

All requests to determine whether this system of records contains a record pertaining to the requesting individual may be directed to the Privacy Act Officer, Securities and Exchange Commission, Operations Center, 6432 General Green Way, Mail Stop O-5, Alexandria, VA 22312-2413.

Record access procedures:

Persons wishing to obtain information on the procedures for gaining access to or contesting the contents of these records may contact the Privacy Act Officer, Securities and Exchange Commission, Operations Center, 6432 General Green Way, Mail Stop O-5, Alexandria, VA 22312-2413.

Contesting record procedures:

See record access procedures above.

Record source categories:

Information is obtained from orders issued to individual administrative law judges by Chief Administrative Law Judge and from information and reports submitted to Chief Administrative Law Judge by individual administrative law judges.