

## **SEC-26**

### **SYSTEM NAME:**

Confidential Treatment Request Imaging System-SEC.

### **SYSTEM LOCATION:**

Securities and Exchange Commission, Operations Center, Freedom of Information Act and Privacy Act Operations, 6432 General Green Way, Mail Stop O-5, Alexandria, VA 22312-2413.

### **CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:**

Records are maintained on individuals whose names appear in requests for confidential treatment submitted to the Office of Freedom of Information Act and Privacy Act Operations.

### **CATEGORIES OF RECORDS IN THE SYSTEM:**

Requests for confidential treatment submitted to the Office of Freedom of Information Act and Privacy Act Operations after June 1992, which may identify the case number, case or subject name, names of the companies or individuals involved, and the date of the submission.

### **AUTHORITY FOR MAINTENANCE OF THE SYSTEM:**

*15 U.S.C. 77s, 77sss, 78d, 78d-1, 78d-2, 78w, 78ll(d), 79t, 80a-37, 80b-11; 5 U.S.C. 552; and 17 CFR 200.83.*

### **PURPOSE:**

The system is designed to enhance the Commission's ability to store and retrieve requests for confidential treatment received by the Office of Freedom of Information Act and Privacy Act Operations ("FOIA/PA Office") after June 1992. The system will be used primarily by the staff of the FOIA/PA Office who review agency records in light of applicable requests for confidential treatment.

### **ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSE OF SUCH USES:**

These records and the information contained in these records may be used as follows:

- (1) In processing subpoenas or requests for discovery, in an administrative or judicial proceeding before a court or adjudicative body, to the extent that they are relevant and necessary to the proceeding; and
- (2) To Commission staff or the contractor providing support to permit servicing the system.

### **POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:**

#### **STORAGE:**

Records are maintained on optical diskettes, data cartridges, and paper records.

#### **RETRIEVABILITY:**

Records may be retrieved by the case number, case or subject name, names of the companies or individuals involved, and the date of the submission. Record searches may be restricted to an individual's name by a word search.

#### **SAFEGUARDS:**

Records are safeguarded through the use of appropriate computer passwords to restrict access. In addition, data cartridges (used for back-up storage of electronic records) are kept in a locked storage cabinet which may only be entered with a passkey. Paper records are kept in a locked file cabinet with restricted access. All records are housed in a building with a 24-hour security guard.

**RETENTION AND DISPOSAL:**

Requests for confidential treatment received by the Office of Freedom of Information Act and Privacy Act Operations regarding investigatory records are maintained indefinitely. All others are retained for ten (10) years, in accordance with 17 CFR 200.80f.

**SYSTEM MANAGER(S) AND ADDRESS:**

Freedom of Information Act/Privacy Act Officer, Securities and Exchange Commission, 6432 General Green Way, Mail Stop O-5, Alexandria, VA 22312-2413.

**NOTIFICATION PROCEDURE:**

All requests to determine whether this system of records contains a record [\*47891] 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:**

Letters submitted to the Office of Freedom of Information Act and Privacy Act Operations, for confidential treatment of documents produced to other Commission staff, in connection with investigations, enforcement proceedings, registrations, studies, procurement/contracts, or other matters arising under or required by statute, law, rule, or regulation.

**EXEMPTIONS CLAIMED FOR THE SYSTEM:**

None.