

CHARTER Data Management Board

1. Background and Authority

This charter establishes the U.S. Securities and Exchange Commission (SEC) Data Management Board (DMB) and defines the objectives, responsibilities, and functioning of the DMB.

The DMB is responsible for advising and making recommendations to the SEC's Chief Data Officer (CDO) on matters involving the SEC's Data Management (DM) Program. The DM Program includes enterprise-level DM projects and responsibilities and has the following overall objectives:

- Enabling collaborative management of data as a strategic enterprise asset
- Ensuring secure, efficient, and effective solutions for the collection, management, use, protection, dissemination, and generation of data within the SEC
- Ensuring, to the extent practicable, the SEC maximizes the use of data to carry out its mission

2. Objectives and Responsibilities

The DMB's specific responsibilities are to provide advice and recommendations on:

- Oversight of the SEC's DM Program, including the SEC's compliance with legislative and administrative requirements related to data management and use
- Implementation of enterprise DM policies, standards, and procedures
- Acquisition of commercial data and information services within the SEC
- Coordination with respect to the collection, management, use, protection, dissemination, and generation of enterprise data assets
- Other enterprise data-related topics and initiatives, including any data management initiatives identified by the SEC Chairman
- Standing up and disbanding subgroups as needed to support the DM Program and to fulfill responsibilities the DMB delegates to these groups

The Chair of the DMB is responsible for directing the oversight of the DM Program. The Chair's specific responsibilities include, but are not limited to setting the agenda of DMB meetings by identifying and including:

- Important DM Program topics for discussion by the DMB, including compliance with legislative and administrative requirements
- Updates on the implementation of the DM Program

3. Membership

The DMB is composed of senior officials from across the SEC who have authority over data management and use, and who have insight into alignment between the SEC’s mission and its data management needs. For members not directly identified below, the member will be chosen by the sponsoring division/office.

DMB Members

- Chief Data Officer (CDO) (Chair)
- Chief Operating Officer (COO)
- Chief Information Officer (CIO)
- Chairman’s Office Representative
- Senior Officer, Office of General Counsel (OGC)
- Senior Officer, Division of Corporation Finance (CF)
- Senior Officer, Division of Economic and Risk Analysis (DERA)
- Senior Officer, Division of Enforcement (ENF)
- Senior Officer, Division of Investment Management (IM)
- Senior Officer, Division of Trading and Markets (TM)
- Senior Officer, Office of Compliance Inspections and Examinations (OCIE)
- Senior Officer, Office of Credit Ratings (OCR)
- Senior Officer, EDGAR Business Office (EBO)
- Managing Executive, Small Offices

Members may appoint a proxy to represent them in the event they are unable to attend a meeting. If a position is vacant, the person named to fill the position on an acting basis will serve as a member of the DMB for the duration of the acting appointment.

4. Structure

The CDO will chair the DMB.

DMB meetings are held approximately quarterly and are typically scheduled for 60 minutes. The Chair may call additional meetings. The DMB does not convene if there are no agenda items.

5. Governance

The DMB is an advisory body responsible for advising and providing recommendations to the CDO on the SEC’s overall DM Program, which includes the following enterprise-level DM projects and responsibilities: enterprise DM initiatives; enterprise DM policies, standards, and procedures; recommendations for data acquisition; and coordination with respect to the collection, management, use, protection, dissemination, and generation of enterprise data assets.

Discussions and recommendations will be documented in meeting minutes and archived to provide a record of the DMB’s activity.

6. Meeting Attendance

DMB meetings are normally attended by members as documented in Section 3. DMB members may request that other representatives attend specific meetings. Contractors are allowed to attend DMB meetings at the request of one or more DMB members and with the approval of the Chair.

7. Meeting Presentations and Documentation

The Chair sets the agenda of DMB meetings by identifying updates, new proposals, and items for review by the DMB. Individual DMB members may also propose specific agenda items.

DMB meeting minutes and other meeting materials will be maintained in accordance with record management requirements and will be made available electronically.

Approved by:

Date:

Kenneth A. Johnson
Chief Operating Officer
U.S. Securities and Exchange Commission

Austin Gerig
Chief Data Officer
U.S. Securities and Exchange Commission