



Office of the Chief
Operating Officer

January 22, 2025

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

Dear Mr. Francisco:

The National Archives and Records Administration (NARA) has received information that records shipped from the Washington National Records Center (WNRC) to Securities and Exchange Commission (SEC) headquarters were never received because the box was damaged during shipment. The purpose of this letter is to document the unauthorized disposition of federal records.

According to the information received, the Federal Records Center program shipped, by the United Parcel Service (UPS), records requested under reference request ARR1-4962320251 on April 4, 2024. The request was for Box 3 of transfer W266-94-0084. These records are Periodic Reports Submitted by Filers, in microfiche format, scheduled for permanent retention under DAA-0266-2021-0007-0001.

NARA acknowledges that UPS sent SEC a notice indicating that the box was damaged during shipment. The WNRC has confirmed that the box was not returned to its facility, and UPS has searched for the package and reported that it had not been able to locate it and the box is presumed to be destroyed. In the event the records ever resurface with SEC, we request that SEC inform NARA so we can update the case file for this instance of unauthorized disposition.

To ensure that the reporting requirements of 36 CFR 1230.14(a) are met, please indicate to NARA whether the information in this letter is correct and complete. If there are additional details about the loss of records, please share them. If you have any questions or wish to discuss this further, please contact the Records Management Oversight and Reporting Program by email at UnauthorizedDisposition@nara.gov.

Sincerely,

WILLIAM FISCHER
Chief Records Officer
for the U.S. Government (Acting)