

MEMORANDUM

TO: Dominic Mancini
Deputy Director, Office of Information & Regulatory Affairs
Office of Management and Budget

FROM: David L. Bottom
Office of Information Technology
Securities and Exchange Commission

RE: Emergency consideration of one collection of information pursuant to 44 U.S.C. 3507(j) as implemented at 5 CFR 1320.13.

The Securities and Exchange Commission (“SEC” or the “Commission”) is requesting emergency consideration of one collection of information pursuant to 44 U.S.C. 3507(j) as implemented at 5 CFR 1320.13. The collection of information is titled “Ombudsman Matter Management System.”

The collection of information from the Ombudsman Matter Management System, or “OMMS,” is primarily used to: (i) identify and respond to problems retail investors have with the Commission or with SROs; (ii) track and analyze matter volume, response, and resolution times; (iii) categorize and report matter trends and concerns; and (iv) provide data-driven support for recommendations presented by the Ombudsman to the Investor Advocate for review and consideration. As such, OMMS enhances the overall effectiveness of services provided by the SEC Ombudsman. OMMS is designed to: (i) provide an efficient, user-friendly and mobile-friendly method for retail investors to submit detailed information to the Ombudsman; (ii) automate a significant portion of the existing manual intake process; (iii) reduce staff resources required to track and monitor matters and responses; (iv) increase staff resources available to interact with investors, research issues, and resolve concerns; and (v) supplement the existing safeguards used to maintain the confidentiality of communications with the Ombudsman.

In connection with this request, the Commission has determined:

1. The collection of information is needed prior to the time periods established under the Paperwork Reduction Act of 1995, 44 U.S.C. 3501 et seq. (“PRA”) and applicable regulations, 5 CFR 1320.1 et seq.
2. The collection of information is essential to the mission of the Commission.
3. The extension renewal was assigned to an SEC employee that left the Commission and did not notify other SEC staff of the impending expiration. As a result, the existing approval expired on October 31, 2022. Therefore the Commission cannot reasonably comply with the normal clearance requirement of the PRA and applicable regulations because the use of normal clearance procedures is reasonably likely to prevent or disrupt the collection of information. We are requesting a 6 month Extension.
4. The Commission requests that OMB approve or disapprove the collection of information by December 16, 2022.
5. Because the Commission is requesting a reinstatement of a previously approved information collection on an emergency basis, the Commission has not yet specifically solicited comments on this information collection. If reinstatement is granted, the Commission will publish a notice soliciting comments in the Federal Register prior to

seeking an extension of the term of the information collection.

6. The Commission requests that OMB waive the notice requirement set forth in 5 CFR 1320.5(a)(1)(iv).

Thank you for considering this request.

