



This document is scheduled to be published in the Federal Register on 05/24/2016 and available online at <http://federalregister.gov/a/2016-12116>, and on FDsys.gov

8011-01p
SECURITIES AND EXCHANGE COMMISSION

Proposed Collection; Comment Request

Upon Written Request Copies Available From:

Securities and Exchange Commission
Office of FOIA Services
100 F Street, NE,
Washington, DC 20549-2736

Ombudsman Matter Management System
OMB Control No. 3235-XXXX
SEC File No. 270-797

Notice is hereby given that, pursuant to the Paperwork Reduction Act of 1995 (44 U.S.C. 3501 et seq.), the Securities and Exchange Commission (“Commission” or “SEC”) is soliciting comments on the collection of information summarized below. The Commission plans to submit this new collection of information to the Office of Management and Budget for approval.

Members of the public who contact the Ombudsman for assistance currently do so by traditional mail, electronic mail, telephone, and facsimile. To make it easier for retail investors and others to contact the Ombudsman electronically, the Commission is developing the Ombudsman Matter Management System (“OMMS”), a new, electronic data collection system for the receipt, collection and analysis of inquiries, complaints, and recommendations from retail investors directed to the SEC Ombudsman and the Office of the Investor Advocate, and invites comment on OMMS. Through OMMS, members of the public may request assistance from the Ombudsman and staff using a web-based form (the “OMMS Form”) tailored to gather information about matters within the scope of the Ombudsman’s function and streamline the inquiry and response process.

The OMMS Form will facilitate communication with the Ombudsman via an electronic series of basic questions with user-friendly response features such as radio buttons, drop-down

menu responses, pop-up explanation bubbles, webpage links, fillable narrative text fields, and document upload options. In addition, the OMMS Form incorporates functionality that, depending upon certain responses, pre-populates specific fields, and prompts the user to provide additional information. By eliciting specific information from the user, the OMMS Form will facilitate communication between the user and the Ombudsman, reduce response and resolution times, and maximize Ombudsman staff resources available for recording, processing, and responding to matters. The requested information collection is voluntary and will not change the contact methods currently available.

The Commission expects that OMMS will be operative and the OMMS Form publicly available through the Commission's website, <https://www.sec.gov>.

The Commission estimates that the total reporting burden for using the OMMS Form will be 250 hours. The calculation of this estimate depends on how many members of the public use the form each year and the estimated time it takes to complete the forms: 500 respondents x 30 minutes per submission = 250 burden hours. The estimates of average burden hours are made solely for the purposes of the Paperwork Reduction Act. The total estimated one-time cost to the federal government of creating OMMS and the OMMS Form is \$400,000.

An agency may not conduct or sponsor a collection of information unless it displays a currently valid control number. No person shall be subject to any penalty for failing to comply with a collection of information subject to the PRA that does not display a valid Office of Management and Budget control number.

Written comments are invited on all aspects of this proposed information collection request, in particular: (a) whether this collection of information is necessary for the proper performance of the functions of the agency, including whether the information will have practical utility; (b) the

accuracy of the agency's estimate of the burden imposed by the collection of information; (c) ways to enhance the quality, utility, and clarity of the information collected; and (d) ways to minimize the burden of the collection of information on users, including through the use of automated collection techniques or other forms of information technology.

Consideration will be given to comments and suggestions submitted in writing within 60 days of this publication. Please direct your written comments to Pamela Dyson, Director/Chief Information Officer, Securities and Exchange Commission, c/o Remi Pavlik-Simon, 100 F Street, NE, Washington, DC 20549; or send an e-mail to: PRA_Mailbox@sec.gov.

Robert W. Errett
Deputy Secretary

May 18, 2016

[FR Doc. 2016-12116 Filed: 5/23/2016 8:45 am; Publication Date: 5/24/2016]