



George W. Bush Presidential Library and Museum

2943 SMU Boulevard, Dallas, Texas 75205

www.georgewbushlibrary.smu.edu

Inventory for FOIA Request 2014-0373-F

Records on the Sarbanes-Oxley Act of 2002 to or from the Securities and Exchange Commission (SEC) or Congress

Extent

40 folders, approximately 1,821 pages / 358 assets

Access

Collection is open to all researchers. Access to George W. Bush Presidential Records is governed by the Presidential Records Act (PRA) (44 USC 2201) and the Freedom of Information Act (FOIA) (5 USC 552, as amended) and therefore records may be restricted in whole or in part in accordance with legal exemptions.

Copyright

Documents in this collection that were prepared by officials of the United States government as part of their official duties are in the public domain. Researchers are advised to consult the copyright law of the United States (Title 17, USC) which governs the making of photocopies or other reproductions of copyrighted material.

Provenance

Official records of George W. Bush's presidency are housed at the George W. Bush Presidential Library and administered by the National Archives and Records Administration (NARA) under the provisions of the Presidential Records Act (PRA).

Processing by

Staff Archivists, 2016. Previously restricted materials are added as they are released. Last Modified: 09/18/2020

Scope and Content

The materials in FOIA 2014-0373-F are a selective, not necessarily all inclusive, body of documents responsive to the topic of the FOIA. Researchers should consult the archivist about related materials.

FOIA 2014-0373-F contains materials related to the Sarbanes-Oxley Act of 2002, limited to information or correspondence with the Securities and Exchange Commission (SEC) or Congress.

This FOIA primarily contains drafts of legislation, internet printouts, legislation comparison charts, press releases, correspondence from Congress, factual reports, talking points, official transcripts of press briefings and remarks, as well as administrative documents such as fax cover sheets and printed emails. Electronic records include week ahead schedules, weekly and daily

whip notices, and floor reports from the House of Representatives; statements, speeches, press releases, and fact sheets from Congressmen; testimony and speeches from Chairman Harvey Pitt of the SEC; and lists of amendments, all related to H.R. 3763 (the Corporate and Auditing Accountability, Responsibility, and Transparency Act of 2002) and S. 2673 (the Public Company Accounting Reform and Investor Protection Act of 2002). Also present are numerous copies of the Statement of Administration Policy on S. 2673. Additionally, there are lists of conferees and the conference report for this legislation. Lastly, the signing statement and speech given by President George W. Bush on July 30, 2002 as he signed the –Sarbanes-Oxley Act of 2002 are present.

System of Arrangement

The materials in FOIA 2014-0373-F are a systematic body of documents responsive to the topic of the FOIA. Researchers should consult an archivist about related materials.

Documents responsive to this FOIA were found in these collection areas – Staff Member Office Files, White House Office of Records Management (WHORM) Subject Files, and George W. Bush Presidential Electronic Records.

Staff Member Office Files are maintained at the folder level by staff members within their individual offices and document all levels of administration activity.

Staff Member Office Files are processed at the folder level, that is, individual documents are not selected and removed from a folder for processing. While this method maintains folder integrity, it frequently results in the incidental processing of documents that are not wholly responsive to the subject area.

WHORM Subject Files are processed at the document level.

The WHORM Subject File compiled by the White House Office of Records Management is comprised of a series of documents assigned a letter/number combination and filed in a subject category. A complete listing of the subject categories including a detailed description of each category is available in our research room and on our website at www.georgewbushlibrary.smu.edu

The Executive Office of the President (EOP) instance of the Electronic Records Archive (ERA) contains electronic records created or received by President George W. Bush. These records are stored in Search and Access Sets (SAS) that represent their originating computer program, such as Exchange Email or the Worker and Visitor Entry System (WAVES). In addition to records captured from the White House’s electronic systems, EOP-ERA also contains records from the home and shared drives used by White House staff.

The following is a list of electronic search results lists (SRLs) and folders processed in response to FOIA 2014-0373-F:

George W. Bush Electronic Records

ARMS_From contains 287 assets.

ARMS_To contains 59 assets.
RNC_From contains 4 assets.
RNC_To contains 8 assets.

George W. Bush Textual Records

Box 1

Records Management, White House Office of

Subject Files - BE003 (Free Enterprise)

527657

527684

Subject Files - FA (Federal Aid)

544037

Subject Files - FG006-01 (White House Staff)

527932

Subject Files - FG065 (Independent Agencies, Boards & Commissions)

534518

544195

Subject Files - FG249 (Securities & Exchange Commission)

544080

Subject Files - PE001 (Ethics, Federal Service)

528483

Staff Member Office Files

Chief of Staff, White House Office of

Burks, Jonathan

Sarbanes-Oxley

Council of Economic Advisers

Kroszner, Randall (Randy) - Subject Files

Corporate Governance Briefing Book: Summer/Fall 2002 [1]

Corporate Governance Briefing Book: Summer/Fall 2002 [2]

Corporate Governance Briefing Book: Summer/Fall 2002 [3]

Counsel's Office, White House

Everson, Nanette

Sarbanes-Oxley: Bill Summaries

Sarbanes-Oxley: SEC Materials

Newstead, Jennifer (Jen)

- Corporate Governance - Sarbanes [1]
- Corporate Governance - Sarbanes [2]
- Corporate Governance - Sarbanes [3]
- Corporate Governance - Sarbanes [4]
- Corporate Governance - Sarbanes [5]
- Corporate Governance - Sarbanes [6]
- Corporate Governance - Sarbanes [7]
- Corporate Governance - Sarbanes [8]
- Corporate Governance - Sarbanes: HR 3763 - Oxley
- Sarbanes-Oxley Act [1]

Box 2

Counsel's Office, White House

Newstead, Jennifer (Jen)

- Sarbanes-Oxley Act [2]
- Sarbanes-Oxley Act [3]
- Sarbanes Passed Bill [1]
- Sarbanes Passed Bill [2]
- Sarbanes Passed Bill [3]
- Sarbanes Passed Bill [4]
- Sarbanes Passed Bill [5]
- Sarbanes Passed Bill [6]
- Sarbanes Passed Bill [7]
- Sarbanes Passed Bill [8]

National Economic Council

Corbett, Bryan

Sarbanes-Oxley

Mooney, Leslie

POTUS Corporate Governance Bill Signing

Sumerlin, D. Marcus (Marc)

- Banking : Corporate Governance [Folder 4] [1]
- Banking : Corporate Governance [Folder 4] [2]

Banking : Corporate Governance [Folder 4] [3]

Public Liaison, White House Office of

Meece, Michael (Mike)

Sarbanes-Oxley Reform on Medium-Sized Public Companies