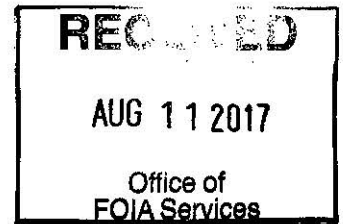


foiapa

From: Request@ip-10-170-21-93.ec2.internal
Sent: Friday, August 11, 2017 10:56 AM
To: foiapa
Subject: Request for Document from Bain, Benjamin



Mr. Benjamin S Bain
1101 New York Ave. NW
Floor 11
Washington, District of Columbia 20001
United States

202-689-7179
bbain2@bloomberg.net
Bloomberg News

**Expedited Treatment
Requested**

Fee Waiver Requested

Request:

COMP_NAME: Chairman Walter Jay Clayton Waiver Requests, pursuant to 18 U.S.C. & 208(b)(1)

DOC_DATE: May 4 - August 11, 2017

TYPE: Other (fully describe)

COMMENTS: I'm requesting written waivers, pursuant to 18 U.S.C. § 208(b)(1), or regulatory exemptions, pursuant to 18 U.S.C. § 208(b)(2), that SEC Chairman Walter Jay Clayton has filed or received since being sworn in to office on May 4.

FEE_AUTHORIZED: Willing to Pay \$61

FEE_WAIVER_REQUESTED: Yes

FEE_WAIVER_COMMENT: As a reporter at Bloomberg News covering the SEC, this information is "likely to contribute" to an increased public understanding of the work and decisions at the SEC. This disclosure would contribute to the understanding of a reasonably broad audience and would enhance the public's understandable of "identifiable operations or activities of the Federal government."

EXPEDITED_SERVICE_REQUESTED: Yes

EXPEDITE_COMMENT: As a reporter, I'm a "person primarily engaged in disseminating information," and there's an urgency to inform the public over how the leader of Wall Street's main regulator is working to avoid conflicts of interest.



UNITED STATES
SECURITIES AND EXCHANGE COMMISSION

STATION PLACE
100 F STREET, NE
WASHINGTON, DC 20549-2465

Office of FOIA Services

September 13, 2017

Mr. Benjamin S. Bain
Bloomberg News
1101 New York Ave., NW, 11th Floor
Washington, DC 20001

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 17-03548-FOIA

Dear Mr. Bain:

This letter is in response to your request, dated and received in this office on August 11, 2017, for access to written waivers, pursuant to 18 U.S.C. § 208(b)(1), or regulatory exemptions, pursuant to 18 U.S.C. § 208(b)(2), that SEC Chairman Walter Jay Clayton has filed or received since being sworn in to office on May 4, 2017. This letter also refers to our interim and/or e-mail communications of August 11, 2017 and August 14, 2017.

Based on the information you provided in your letter, we consulted with other SEC staff, but did not locate or identify any records responsive to your request. Please note, Exemptions to 18 U.S.C. § 208 are available to employees pursuant to Office of Government Ethics regulations found at 5 CFR § 2640. The agency does not track individual employees' reliance on these exemptions.

If you still have reason to believe that the SEC maintains the type of information you seek, please provide us with additional information, which could prompt another search. Otherwise, we conclude that no responsive information exists and we consider this request to be closed.

You have the right to appeal the adequacy of our search or finding of no responsive information to the SEC's General Counsel under 5 U.S.C. § 552(a)(6), 17 CFR § 200.80(d)(5)(iv). The appeal must be received within ninety (90) calendar days of the date of this adverse decision. Your appeal must be in writing, clearly marked "Freedom of Information Act Appeal," and should identify the requested records. The appeal may include facts and authorities you consider appropriate.

Mr. Benjamin S. Bain
September 13, 2017
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17-03548-FOIA

You may file your appeal by completing the online Appeal form located at https://www.sec.gov/forms/request_appeal, or mail your appeal to the Office of FOIA Services of the Securities and Exchange Commission located at Station Place, 100 F Street NE, Mail Stop 2465, Washington, D.C. 20549, or deliver it to Room 1120 at that address. Also, send a copy to the SEC Office of the General Counsel, Mail Stop 9612, or deliver it to Room 1120 at the Station Place address.

If you have any questions, please contact me at hansenjo@sec.gov or (202) 551-8377. You may also contact me at foiapa@sec.gov or (202) 551-7900. You also have the right to seek assistance from Dave Henshall at (202) 551-7900 as a FOIA Public Liaison for this office, or contact the Office of Government Information Services (OGIS) for dispute resolution services. OGIS can be reached at 1-877-684-6448 or Archives.gov or via email at ogis@nara.gov.

Sincerely,



Joel Hansen
FOIA Research Specialist