



January 5, 2018



RESEARCH SUBJECT: Jennifer McCulloch Dunne
DOB:
Englewood, CO 80113

Dear Sir or Madam:

In accordance with the Freedom of Information Act (FOIA), by this correspondence I request notice of any non-public correspondence for consumer complaints, or disciplinary actions that may be on file for **all available dates (to the present)** for the subject listed above.

I understand that my firm is responsible for the costs associated with processing this request and ask that you contact me in advance if the estimated costs will exceed \$100.

My regards,

Sally Marcus
Sr. Risk Administrator



BNY MELLON



UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
STATION PLACE
100 F STREET, NE
WASHINGTON, DC 20549-2465

Office of FOIA Services

January 22, 2018

Ms. Sally Marcus
EACM Advisors, LLC
200 Connecticut Ave., 6th Floor
Norwalk, CT 06854

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 18-01074-T

Dear Ms. Marcus:

This letter responds to your request, dated and received in this office on January 05, 2018, for information concerning Jennifer McCulloch Dunne.

Consumer Complaints

Based on the information you provided in your letter, we conducted a search of the SEC's consumer complaints systems of records, but did not locate any records responsive to your request. If you still have reason to believe that the SEC maintains the records you seek, please provide us with additional information, which could prompt another search. Otherwise, we conclude we have no responsive records to this portion of your request.

Investigations

We can neither confirm nor deny the existence of any records responsive to your request. If such records were to exist, they would be exempt from disclosure pursuant to FOIA Exemptions 6 and/or (7) (C), 5 U.S.C. § 552(b) (6) and (7) (C), 17 CFR § 200.80(b) (6) and (7) (iii). Under Exemption 6 the release of this type of information would constitute a clearly unwarranted invasion of personal privacy. Under Exemption 7(C) release of such information could reasonably be expected to constitute an unwarranted invasion of personal privacy. By outlining the provisions of these exemptions, we do not mean to imply in any way that records responsive to your request exist. Please note that final actions taken based on SEC investigations, including administrative proceedings, disciplinary actions and civil complaints are publicly available at <https://www.sec.gov/litigation.shtml>.

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You have the right to appeal this response 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 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.

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 fultonc@sec.gov or 202-551-8186. You may also contact me at foiapa@sec.gov or (202) 551-7900. You also have the right to seek assistance from Lizzette Katilius 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 e-mail at ogis@nara.gov.

Sincerely,



Charlotte Fulton
FOIA Research Specialist