

foiapa

From: Request@ip-10-170-20-234.ec2.internal
Sent: Thursday, April 19, 2018 2:43 PM
To: foiapa
Subject: Request for Document from Williams, Michael

Mr. Michael Williams
1233 20th St NW
Ste 301
Washington, District of Columbia 20036
United States

917-382-5091
mwilliams@thecapitolforum.com
The Capitol Forum

Request:
COMP_NAME: L3-Communications
DOC_DATE: N/A
TYPE: Investigations

COMMENTS: I am requesting all documents released as part of foia 18-01399-T. This includes the original foia request sent by John Patrick Gavin on February 6, 2018 and any SEC response letters to that foia. Thank you.

FEE_AUTHORIZED: Willing to Pay \$61
FEE_WAIVER_REQUESTED: Yes
FEE_WAIVER_COMMENT: Media
EXPEDITED_SERVICE_REQUESTED: No



Fee Waiver Requested



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

Office of FOIA Services

April 24, 2018

Mr. Michael Williams
The Capitol Forum
1233 20th Street NW, Ste. 301
Washington, DC 20036

RE: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 18-01677-FOIA

Dear Mr. Williams:

This letter is in response to your request, dated and received in this office on April 19, 2018, for access to all records released as part of FOIA request number 18-01399-T from John Patrick Gavin.

The search for responsive records has resulted in the retrieval of six pages of records that may be responsive to your request. These records include two pages of responsive records sent to Mr. Gavin, a three-page final response letter, and the original request submitted. You will not be assessed any fees, therefore your request for a fee waiver is moot.

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 as a FOIA Public Liaison 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,

A handwritten signature in black ink, appearing to read "Joel Hansen".

Joel Hansen
FOIA Research Specialist

Enclosure

18-01399-T

Probes Reporter

*They know it. Now you know it.**

PO Box 47331
Plymouth, MN 55447
foia@secprobes.com
ph: 763-595-0900

FOIA Request

06-February-2018

RECEIVED

FEB 06 2018

Office of
FOIA Services

US Securities & Exchange Commission
Office of FOIA and Privacy Act Operations
100 F Street, NE Mail Stop 5100
Washington, DC 20549-5100

Under the Freedom of Information Act (FOIA), 5 U.S.C. § 552 et. seq, please provide me with copies of the following records of any investigation(s) that directly pertain to the conduct, disclosures, and/or transactions of the registrant **L-3 Communications Holdings Inc.** (cik #:0001056239 or 0001039101) since **06-Feb-2016**.

- Correspondence sent to and/or received by the registrant;
- Correspondence sent to and/or received by third parties on behalf of the registrant;
- Wells Notices;
- Subpoenas;
- Orders of Formal Investigation as well as any supplemental orders; and,
- Opening and Closing Reports, including "Case Closing Recommendation", "Matter Under Inquiry Summary", "Investigation Summary", and/or similar documents and/or reports.

With regard to the Case Closing Recommendations and those other documents requested in my last bullet point, we specifically ask that that your response(s) to this request speak to the existence of these records, whether or not you intend to release them. If none is found for this registrant, please tell us that. If such records are found, please release them to us. If such records exist that you do not wish to release, please be specific as possible in describing those records not being released and why they, or components of them, are not being released.

At present we are not interested in rejected offers of settlement.

If any exemptions are asserted, I prefer the Commission grant a partial fulfillment of my request by providing our office with any documents which are not in dispute at this time.

If possible, for those records where confidential treatment is asserted, we request that the FOIA office provide us with the estimated number of pages & date range of the pages at issue. This will help us assess whether we want the FOIA office to proceed with confidential treatment processing.

As I qualify as a media requestor there should be no fees related to this request. In the event of unusual circumstances, this letter authorizes up to \$1,000 in search and related fees. Please invoice me where appropriate and we will pay the invoices promptly. Please feel free to call me at (763) 595-0900 with any questions or information regarding this request.

Thank you for your continued assistance.

J. Gavin



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

Office of FOIA Services

March 16, 2018

Mr. J. Patrick Gavin
Probes Reporter, LLC
P.O. Box 47331
Plymouth, MN 55447

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 18-01399-T

Dear Mr. Gavin:

This letter is in response to your request, dated and received in this office on February 06, 2018, for copies of any investigation(s) that directly pertain to the conduct, disclosures, and/or transactions of the registrant L-3 Communications Holdings Inc., since February 06, 2016. Specifically, you listed six types of records for which you were interested, as well as information regarding confidential treatment requests.

We located records responsive to the following two types of documents listed in your request:

- Correspondence sent to and/or received by the registrant; and
- Opening and Closing Reports, including "Case Closing Recommendation," "Matter Under Inquiry Summary," "Investigation Summary," and/or similar documents and/or reports.

The enclosed 2 pages are released with the exception of third-party emails and staff names. This information is withheld under 5 U.S.C. § 552(b)(6) and (7)(C), 17 CFR § 200.80(b)(6) and (7)(iii), for the following reasons.

Under Exemption 6, the release of these records would constitute a clearly unwarranted invasion of personal privacy. Under Exemption 7(C), the release of the information could reasonably be expected to constitute an unwarranted invasion of personal privacy. Further, public identification of Commission staff could conceivably subject them to harassment in the conduct of their official duties and in their private lives.

In addition, we are withholding a 5-page case closing recommendation in full under Exemption 5, 5 U.S.C. § 552(b)(5), 17 CFR §200.80(b)(5). Since certain responsive information was prepared in anticipation of litigation, forms an integral part of the pre-decisional process, and/or contains advice given to the Commission or senior staff by the Commission's attorneys, it is protected from release by the attorney work-product, deliberative process and/or attorney-client privileges embodied in Exemption 5.

Further, we are withholding other records that may be responsive to your request under 5 U.S.C. § 552(b)(7)(A), 17 CFR § 200.80(b)(7)(i). This exemption protects from disclosure records compiled for law enforcement purposes, the release of which could reasonably be expected to interfere with enforcement activities. Since Exemption 7(A) protects the records from disclosure, we have not determined if other exemptions apply. Therefore, we reserve the right to assert other exemptions when Exemption 7(A) no longer applies.

It is the general policy of the Commission to conduct its investigations on a non-public basis. Thus, subject to the provisions of FOIA, the Commission does not disclose the existence or non-existence of an investigation or information gathered unless made a matter of public record in proceedings brought before the Commission or in the courts. Accordingly, the assertion of this exemption should not be construed as an indication by the Commission or its staff that any violations of law have occurred with respect to any person, entity, or security.

I am the deciding official with regard to this adverse determination. You have the right to appeal my decision 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.

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

J. Patrick Gavin
March 16, 2018
Page Three

18-01399-T

General Counsel, Mail Stop 9612, or deliver it to Room 1120 at the Station Place address.

You also have the right to seek assistance from me as a FOIA Public Liaison 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.

If you have any questions, please contact Kay Reid of my staff at reidk@sec.gov or (202) 551-3504. You may also contact me at foiapa@sec.gov or (202) 551-7900.

Sincerely,

A handwritten signature in black ink, appearing to read "L Katilius". The signature is fluid and cursive, with the first letter "L" being large and stylized.

Lizzette Katilius
FOIA Branch Chief

Enclosures



UNITED STATES
SECURITIES AND EXCHANGE COMMISSION

Boston Regional Office
33 Arch St., 23rd Floor
Boston, MA 02110-1424
Telecopier: (617) 573-4590

DIVISION OF ENFORCEMENT

(b)(6),(b)(7)(C)

September 28, 2017

VIA UPS & EMAIL

Martin J. Weinstein
Willkie Farr & Gallagher LLP
1875 K Street, N.W.
Washington, D.C. 20006-1238
(b)(6),(b)(7)(C)

Re: In the Matter of L-3 Communications, Inc. (B-02990)

Dear Mr. Weinstein:

We have concluded the investigation as to L-3 Communications, Inc. Based on the information we have as of this date, we do not intend to recommend an enforcement action by the Commission against L-3 Communications, Inc. We are providing this notice under the guidelines set out in the final paragraph of Securities Act Release No. 5310, which states in part that the notice "must in no way be construed as indicating that the party has been exonerated or that no action may ultimately result from the staff's investigation." (The full text of Release No. 5310 can be found at: <http://www.sec.gov/divisions/enforce/wells-release.pdf>.)

(b)(6),(b)(7)(C)



SEC DIVISION OF ENFORCEMENT

Case Closing Report

As of: 09/28/2017

Matter No.: B-02990-A

Matter Name: L-3 Communications Holdings, Inc.

The undersigned has been designated by the Director of the Division of Enforcement to exercise delegated authority to terminate and close all investigations authorized by the Commission pursuant to Section 20 of the Securities Act of 1933 [15 U.S.C. 77t], Section 21 of the Securities Exchange Act of 1934 [15 U.S.C. 78u], Section 18 of the Public Utility Holding Company Act of 1935 [15 U.S.C. 79r], Section 42 of the Investment Company Act of 1940 [15 U.S.C. 80a-41], and section 209 of the Investment Advisers Act of 1940 [15 U.S.C. 80b-9].

I hereby close this case, pursuant to delegated authority.

(b)(6),(b)(7)(C)

9/28/17
Date