

18-02149-T

foiapa

From: Request@ip-10-170-21-170.ec2.internal
Sent: Tuesday, April 17, 2018 7:21 AM
To: foiapa
Subject: Request for Document from Carr, Kelly



Kelly Carr
38 Romney St
Suite 202
Charleston, South Carolina 29403
United States

6232569579
kelly@quinlan.io

Request:
COMP_NAME: Sage Road Capital LLC
DOC_DATE: January 1, 2008 - April 17, 2018
TYPE: Other (fully describe)
COMMENTS: Pursuant to the Freedom of Information Act, we request access to and copies of all records related in any way to Sage Road Capital LLC.

This request includes, but is not limited to, all complaints and all investigative documents, information contained in the NRSI database; MUI records; supplemental and Formal Orders of Investigation; opening and closing reports; internal and external electronic communications; correspondence; documents produced to the SEC staff in any inquiry, investigation or litigation; records gathered by the SEC staff; transcripts of investigative testimony, depositions and witness statement memoranda; and Wells Notices.

We are willing to pay for the cost of the staff's time and duplication of records. For any charge anticipated to be in excess of \$100, please contact us so that we can determine whether we would prefer to inspect the file and flag the records that we would like to have reproduced.

For any documents that are withheld, please justify each omission separately by reference to specific exemptions of the Act, and release all reasonably segregable portions of otherwise exempt material. Include information contained in the material that otherwise would be considered non-responsive to the specific request. Please notify us of any documents withheld on the grounds of a FOIA exemption, privilege, or other reason, and provide an index of those documents. We reserve the right to appeal any decisions. We will only modify this request in writing, not via telephone.

Thanks in advance for your assistance.

Best regards,

Kelly Carr

FEE_AUTHORIZED: Other Amount \$: 100.00

FEE_WAIVER_REQUESTED: No

EXPEDITED_SERVICE_REQUESTED: No



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

Office of FOIA Services

April 17, 2018

Ms. Kelly Carr
Quinlan Partners
38 Romney St., Suite 202
Charleston, SC 29403

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 18-02149-T

Dear Ms. Carr:

This letter is in response to your request, dated and received in this office on April 17, 2018, for access to and for all records related in any way to Sage Road Capital LLC, from January 1, 2008 through April 17, 2018. Specifically, your request includes but is not limited to, all complaints and all investigative documents, information contained in the NRSI database; MUI records; supplemental and Formal Orders of Investigation; opening and closing reports; internal and external electronic communications; correspondence; documents produced to the SEC staff in any inquiry; investigation or litigation; records gathered by the SEC staff; transcripts of investigative testimony, depositions and witness statement memoranda; and Wells Notices.

Based on the information you provided in your letter, we conducted a thorough search of the SEC's various systems of records, but did not locate or identify any information responsive to your request.

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.

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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 hallr@sec.gov or (202) 551-8353. You may also contact me at foiapa@sec.gov or (202) 551-7900. You also have the right to seek assistance from Jeffery Ovall 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,



Ronnys L. Hall
FOIA Research Specialist