

foiapa

18-02196-T

**From:** Susan L. <susan@checkfundmanager.com>  
**Sent:** Friday, April 20, 2018 8:32 AM  
**To:** foiapa  
**Subject:** Azora Capital, LP

part 1 of 2



April 20, 2018  
U.S. Securities & Exchange Commission  
FOIA Office, Stop O-5  
Station Place  
Mail Stop 2736  
100 F Street, N.E.  
Washington, DC 20549

Under the Freedom of Information Act (FOIA), please send me any records of consumer complaints, civil complaints, investigations, or preliminary inquiries against the below company that the SEC has received for all available dates.

I authorize 1 hour of paid research, which we will pay up to \$61 for.

**Company:**

- 1 Azora Capital, LP
- 2 Azora Capital Advisors, LLC  
900 3rd Ave, Suite 201-10  
New York, NY 10022

Thank you,  
Susan Lichtcsien  
Check Fund Manager LLC  
365 Willard Avenue, Suite 2c  
Newington, CT 06111  
[susan@checkfundmanager.com](mailto:susan@checkfundmanager.com)  
860-666-9595 x 108



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

Office of FOIA Services

April 25, 2018

Ms. Susan Lichtcsien  
Check Fund Manager LLC  
365 Willard Avenue, Suite 2C  
Newington, CT 06111

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552  
Request No. 18-02196-T

Dear Ms. Lichtcsien:

This letter is in response to your request, dated and received in this office on April 20, 2018, for any records of consumer complaints, civil complaints, investigations, or preliminary inquiries against Azora Capital, LP, for all available years.

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.

You may file your appeal by completing the online Appeal form located at [https://www.sec.gov/forms/request\\_appeal](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.

Ms. Susan Lichtcsien  
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If you have any questions, please contact me at [rollinsc@sec.gov](mailto:rollinsc@sec.gov) or (202) 551-8329. You may also contact me at [foiapa@sec.gov](mailto:foiapa@sec.gov) or (202) 551-7900. You also have the right to seek assistance from Aaron Taylor 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](http://Archives.gov) or via e-mail at [ogis@nara.gov](mailto:ogis@nara.gov).

Sincerely,

A handwritten signature in black ink that reads "Carl Rollins". The signature is written in a cursive style with a large, prominent initial "C".

Carl Rollins  
FOIA Research Specialist