

foiapa

From: Iris Hewlett [REDACTED]
Sent: Thursday, June 21, 2018 2:26 PM
To: foiapa
Subject: SEC Administrative Judges before and after the Dodd Frank Act.

Per the Freedom of Information Act 5 USC sec. 552 records which supports under what authority and for how long has SEC used Administrative Judges to handle settlement instead of under civil/ criminal Enforcement actions before and after The Dodd Frank Act in 2010.

The Supreme just found SEC appointments of Administrative Judges to had been unconstitutional.

Thank you,

Iris Hewlett





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

Office of FOIA Services

July 25, 2018

Ms. Iris Hewlett
[REDACTED]

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 18-02278-FOIA

Dear Ms. Hewlett:

This letter is in response to your request, dated and received in this office on June 21, 2018, for access to *"records which supports under what authority and for how long has SEC used Administrative Judges to handle settlement instead of under civil/criminal Enforcement actions before and after the Dodd Frank Act in 2010."*

The SEC does not refer cases to Administrative Law Judges for purposes of "handling settlement." As such, we do not have any records 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, 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

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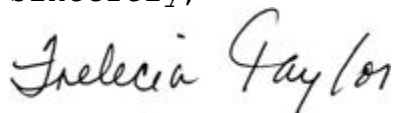
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at that address. Also, send a copy to the SEC Office of the General Counsel, Mail Stop 9612, or deliver it to Room 1120 at the Station Place address.

Further, information pertaining to the Rules of Practice and Administrative Law Judges can be found on the SEC's website at the following links, <https://www.sec.gov/about/rulesprac072003.htm> and <https://www.sec.gov/page/aljsectionlanding>. Additional information may also be located in the Federal Register and Commission settlement orders which are available online or in legal databases such as Lexis Nexis, Westlaw, etc.

If you have any questions, please contact me at taylorf@sec.gov or (202) 551-8349. 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 e-mail at ogis@nara.gov.

Sincerely,

A handwritten signature in cursive script that reads "Felecia Taylor".

Felecia Taylor
FOIA Lead Research Specialist