

18-02318-T

foiapa

From: Lindsey Sullivan <lsullivan@creativeservices.com>
Sent: Tuesday, May 01, 2018 1:04 PM
To: foiapa
Subject: Matthew Goldberg
Attachments: Matthew_Goldberg05.01.2018.pdf



Good Afternoon,


Please conduct an SEC Search for Matthew Goldberg. Please find the request attached.

Best Regards,
Lindsey

Lindsey Sullivan
Operations Manager
Creative Services, Inc.
p-508-339-5451 x212
f-508-339-2352
www.creativeservices.com

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Creative Services, Inc.
"Your partner in the employee selection process"

♦ 64 Pratt Street, Mansfield, MA 02048 ♦ Ph: (508) 339-5451 ♦ Fax: (508) 337-6745 ♦ www.creativeservices.com

May 1, 2018

To Whom It May Concern:

Under the Freedom of Information Act, please conduct a search on the following individual regarding any consumer complaints, civil actions, investigations and/or any disciplinary actions. We authorize the initial fee of \$61.00. Please limit your research to the last seven (7) years. Also, please limit your response to only the initial information obtained. If necessary, we will request additional information at a later date.

Name: **Matthew R Goldberg**

Previous Employer(s) (including period of employment):

Morton Capital Management

Calabasas, CA

05/01/2017 to 06/30/2017

Maxplay Interactive

San Francisco, CA

06/01/2015 to 07/31/2015

Should you have any questions regarding our request, please contact **Lindsey Sullivan, Carly Brousseau or Alex Tannock**.

Thank you in advance for your assistance.

Sincerely,
Lindsey Sullivan

Lindsey Sullivan, Ops Manager.
Creative Services, Inc.
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lsullivan@creativeservices.com

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

Office of FOIA Services

May 4, 2018

Ms. Lindsey Sullivan
Creative Services, Inc.
64 Pratt Street
Mansfield, MA 02048

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 18-02318-T

Dear Ms. Sullivan:

This letter responds to your request, dated and received in this office on May 1, 2018, for access to any consumer complaints, civil actions, investigations and/or disciplinary actions regarding Matthew R. Goldberg for the last seven years.

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>.

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 neilsonc@sec.gov or (202) 551-3149. 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 black ink, appearing to read 'C. Neilson', with a stylized flourish at the end.

Curtis Neilson
FOIA Research Specialist