



18-03010-T



June 29, 2018

RESEARCH SUBJECT: Bart Ethan Baum

Dear Sir or Madam:

In accordance with the Freedom of Information Act (FOIA), by this correspondence I request notice of any non-public correspondence for consumer complaints, or disciplinary actions that may be on file for **all available dates (to the present)** for the subject listed above.

I understand that my firm is responsible for the costs associated with processing this request and ask that you contact me in advance if the estimated costs will exceed \$100.

My regards,

Sally Marcus
Sr. Risk Administrator



BNY MELLON



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

Office of FOIA Services

July 25, 2018

Ms. Sally Marcus
EACM Advisors, LLC
200 Connecticut Ave., 6th Floor
Norwalk, CT 06854-1940

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 18-03010-T

Dear Ms. Marcus:

This letter is in response to your request, dated and received in this office on June 29, 2018, for any non-public correspondence for consumer complaints, or disciplinary actions concerning Bart Ethan Baum for all available dates.

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.

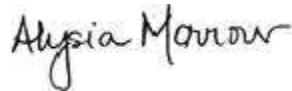
You may file your appeal by completing the online Appeal form located at https://www.sec.gov/forms/request_appeal, or mail your appeal to the Office of FOIA Services of the Securities and Exchange Commission located at Station Place, 100 F Street NE, Mail Stop 2465, Washington, D.C. 20549, or deliver 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.

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If you have any questions, please contact me at morrowa@sec.gov or (202) 551-8376. 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,

A handwritten signature in black ink that reads "Alysia Morrow". The signature is written in a cursive style with a loop at the end of the last name.

Alysia Morrow
FOIA Research Specialist