

ANNUAL FOIA REPORT

SUMMARY OF CERTAIN DATA AND COMPARISON WITH PRIOR YEARS

FOIA REQUESTS	FY24	FY23	FY22	FY21	FY20
Requests Received in FY	10811	9481	10000	12363	13300
Requests Processed in FY	10985	9022	9856	12171	13258
Requests Pending at end of FY	1262	1436	977	833	641
FOIA APPEALS					
Appeals Received in FY	598	632	611	647	585
Appeals Processed in FY	597	631	612	645	599
Appeals Pending at end of FY	4	3	2	3	1
PERSONNEL & COST DATA					
Number of FTE in FOIA Office	29	27	25	26	30
Total of FOIA Liaison FTE	8.22	8.9	7.17	7.30	8.46
Total FOIA Staff	37.22	35.9	32.17	33.3	38.46
Processing Costs	\$13,277,679	\$12,467,072	\$7,177,875	\$9,273,658	\$9,700,308
Litigation – Related Costs	\$841,947	\$794,083	\$317,456	\$199,884	\$461,496
Total FOIA Costs	\$14,119,626	\$13,261,155	\$7,495,331	\$9,473,542	\$10,161,804
FOIA Fees Collected	\$311	\$658	\$5,201	\$7,711	\$13,791
Percentage of Total FOIA Costs	0.0001%	.01%	.07%	.08%	.14%
AVERAGE PROCESSING TIME - DAYS					
Simple requests	5.86	5.9	7.78	16.23	13.79
Complex requests	71.27	62.25	73	697	689

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BREAKDOWN OF WORKLOAD VOLUME BY REQUESTOR TYPE FOR FY 24

FOIA REQUESTS BY CATEGORY OF REQUESTOR	FY24 Requests Rec'd	% of total requests rec'd	
Commercial	4,863	45%	
News Media	3,311	31%	
Educational	776	7%	
Government	36	<1%	
Other	1,825	17%	
<i>Total Requests Received</i>	<i>10,811</i>	<i>100%</i>	
Breakdown of Commercial Requestors		% of All requests rec'd	Type of records requested
Other commercial entities	2,673	55%	Attorneys representing clients; small scale due diligence, small scale confidential exhibits
Check Fund Manager LLC	753	16%	Due diligence on broker dealers, investment advisors, and firms and corporate background checks
RoyaltyRange/RoyaltyStat	607	12%	Confidential exhibits to registration related filings
Clarivate Analytics	443	9%	Confidential exhibits to registration related filings
ktMINE	331	7%	Confidential exhibits to registration related filings
AUS Consultants	56	1%	Confidential exhibits to registration related filings
<i>Total Commercial requests</i>	<i>4,863</i>	<i>45%</i>	
Breakdown of Media Requestors	Number of Requests Filed	% of All requests rec'd	
SECProbes.com (John Gavin)	2,593	78%	Records on ENF matters
Other media entities	718	22%	Variety of subject matters
<i>Total media requests</i>	<i>3,311</i>	<i>31%</i>	

TEN OLDEST PENDING FOIA REQUESTS and APPEALS at END OF FY 24
As noted in Sections VI.C.(5) and VII.E. of the Annual Report

Oldest	FOIA Number	Received Date	Subject	Current Status
1	17-00013-FIFO	7/7/2017	In the Matter of Certain Trading in Threshold Securities. (NY-7729)	In Process
2	18-00013-FIFO	6/27/2018	any investigative materials related to Gray's work in New Haven. Information concerning Larry Gray (18-01346-FOIA), and Gray Financial Group, Inc. (18-01347-FOIA)	In Process
3	19-00011-FIFO	7/17/2019	Records from September 2007 to the present concerning Trading in Threshold Securities, to include depositions, testimony, discovery and other documents	On Hold
4	19-00012-FIFO	8/7/2019	Records from September 2007 to the present concerning Trading in Threshold Securities, to include depositions, testimony, discovery and other documents.	On Hold
5	20-00005-FIFO	12/18/2019	All Commission records regarding the deceased foreign national Adnan Khashoggi	On Hold
6	20-00006-FIFO	1/7/2020	Records regarding the SEC's involvement in the liquidation of funds concerning Investors Overseas Service (I.O.S.)	On Hold
7	20-00010-FIFO	5/19/2020	Investigative records concerning CMKM Diamonds Inc. CMKX, Robert Maheu IBM, Attorney Al Hodges, Attorney Bill Frizzell, Urban Casavant or Shore Gold Canada since November 26, 2002.	On Hold
8	20-00011-FIFO	5/27/2020	Any e-mails or memoranda to or from SEC Commissioners containing the terms 'Saudi' or 'PIF' or 'sovereign' between January 1, 2018 and the present.	On Hold
9	24-00026-FIFO	8/11/2020	all investigative records related to PricewaterhouseCoopers in connection with your TCR submission	In Process
10	21-00002-FIFO	3/29/2021	Emails to SEC - Keyword -"the Calibra digital wallet"	In Process
Oldest	APPEAL Number	Received Date	Subject	Date request sent to OGC
1	24-00589-APPS	09/30/2024	The Commonwealths (Attorney General) of Massachusetts and New York in the matter of Standard & Poor's, File #3-16348	9/30/2024
2	24-00596-APPS	09/30/2024	Witness interview notes shared by Alston & Bird attorneys with the SEC with respect to Alston & Bird and the Agency's investigations into Beazer's accounting practices in 2007	9/30/2024
3	24-00597-APPS	09/30/2024	all records relating to communications from June of 2013 through December of 2018 between Steven Nerayoff and any personnel from the SEC, including calendar entries, notes, or emails between Steven Nerayoff and any email address from the domain "@sec.gov"	9/30/2024
4	24-00598-APPS	09/30/2024	The emails or written communications between Mickael Moore of the SEC and Angela Bailey and Marlene J. Street of the Jamaican Stock Exchange	9/30/2024