

**ANNUAL FOIA REPORT
SUMMARY OF CERTAIN DATA AND COMPARISON WITH PRIOR YEARS**

FOIA REQUESTS	FY14	FY13	FY12	FY11	FY 10
Requests Received in FY	14862	12275	11292	11555	10461
Requests Processed in FY	14757	12167	11302	11562	10554
Requests Pending at end of FY	595	490	382	392	399
FOIA APPEALS					
Appeals Received in FY	452	143	115	169	189
Appeals Processed in FY	432	149	121	138	199
Appeals Pending at end of FY	30	10	16	46	15
PERSONNEL & COST DATA					
Number of FTE in FOIA Office	28	29	27.42	29.25	28
Total of FOIA Liaison FTE	2.55	1.92	9.4	8.25	14
Total FOIA Staff	30.55	30.92	36.82	37.50	42
Processing Costs	\$4,731,004.76	\$4,051,596.53	\$5,129,895	\$5,146,627	\$6,032,377
Litigation - Related Costs	\$231,785.00	\$244,370	\$132,600	\$205,500	394,831
Total FOIA Costs	\$4,962,789.76	\$4,295,966.53	\$5,262,495	\$5,352,127	\$6,427,208
FOIA Fees Collected	\$22,670.81	35,954.30	\$27,577	\$78,005	\$53,502
Percentage of Total FOIA Costs	.48%	.83%	.54%	1.52%	.832%
AVERAGE PROCESSING TIME - DAYS					
Simple requests	12.93	14.51	13.72	11.44	18.38
Complex requests	601	514	325	401	553.33

**ANNUAL FOIA REPORT
BREAKDOWN OF WORKLOAD VOLUME BY REQUESTOR TYPE FOR FY 14**

FOIA REQUESTS BY CATEGORY OF REQUESTOR	FY 14 Requests Rec'd	% of total requests rec'd	
Commercial	10408	70	
News Media	3112	21	
Educational	113	1	
Government	17	0	
Other	1212	8	
Total Requests Received	14862	100%	
Breakdown of Commercial Requestors		% of All requests rec'd	Type of records requested
International Business Research - A Commercial Reporting Agency	2527	25	Due diligence on broker dealers, investment advisors and firms, background checks for employment and asset and liability checking
Clean T Consultants	121	1	Confidential exhibits to registration related filings
Check Fund Manager LLC	1855	18	Due diligence on broker dealers, investment advisors and firms and corporate background checks.
RoyaltyStat, LLC	563	5	Confidential exhibits to registration related filings
Bioscience Advisors	751	7	Confidential exhibits to registration related filings
EACM Advisors LLC - A BNY Mellon Asset Management Co.	747	7	Due diligence on broker dealers, investment advisors and firms, background checks for employment and asset/liability checks.
Other commercial entities	3844	37	Attorneys representing clients; small scale due diligence.
Total Commercial requests	10408	100%	
Breakdown of Media Requestors	Number of Requests Filed	% of All requests rec'd	
SECProbes.com (John Gavin)	2547	82	Records on pending ENF matters
Other media entities	565	18	Variety of subject matters
Total media requests	3112	100%	

TEN OLDEST PENDING FOIA REQUESTS and APPEALS at END OF FY 14
As noted in Sections VI.C.(5) and VII.E. of the Annual Report

Oldest	FOIA Number	Received Date	Subject and processing status	Current Status
1	10-00011-FIFO	9/13/2010	Third Point LLC	Pending
2	11-00008-FIFO	2/22/2011	Steven A Cohen	Pending
3	11-10304-FOIA	8/23/2011	OIG Report 511 Complaint of Investigative misconduct by various ENF attorneys Mark Cuban	Closed 11/7/2014
4	11-10313-FOIA	8/24/2011	OIG Report 511 complaint of investigative misconduct by various Enforcement attorneys Mark Cuban	Closed 11/7/2014
5	12-00019-FIFO	9/22/2011	OIG Report 560 David Becker Exhibits 1-200 (All Exhibits)	Pending
6	12-04515-FOIA	2/8/2012	determinations and certifications under 18 USC 208 (b) (1) (b2) (b3)	Pending
7	12-05583-FOIA	3/12/2012	Quantlab Financial	Pending
8	12-00017-FIFO	5/21/2012	CT Orders	Closed 11/4/2014
9	12-00018-FIFO	6/1/2012	American International Group AIG	Pending
10	12-08180-FOIA	6/18/2012	8b Letters	Pending
Oldest	APPEAL Number	Received Date	Subject and processing status	Date request sent to OGC
1	13-00005-APPS	10/23/2012	Voting breakdown for Public Enforcement Actions	10/25/2012
2	13-00038-APPS	1/22/2013	various Bush administrative officials and Adelphia Communications Corp	1/23/2013
3	14-00022-APPS	12/16/2013	SECs official records management and retention guide	12/16/2013
4	14-00033-APPS	2/11/2014	Stansberry & Associates Investment Research	2/11/2014
5	14-00036-APPS	2/18/2014	Downey Financial Corp	2/18/2014
6	14-00043-APPS	3/13/2014	Wedbush	3/13/2014
7	14-00044-APPS	3/13/2014	Wedbush Securities	3/14/2014
8	14-00118-APPS	4/7/2014	Scripps Network Interactive Inc	4/8/2014
9	14-00166-APPS	4/23/2014	Exhibits related to deposition of Mr. Paul Joseph Weber taken on 12/8/1999	4/23/2014
10	14-00171-APPS	4/23/2014	State Street Corporation	4/23/2014