

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

FOIA REQUESTS	FY16	FY15	FY14	FY13	FY12
Requests Received in FY	14458	16898	14862	12275	11292
Requests Processed in FY	15196	16207	14757	12167	11302
Requests Pending at end of FY	550	1298	595	490	382
FOIA APPEALS					
Appeals Received in FY	653*	495	452	143	115
Appeals Processed in FY	667	505	432	149	121
Appeals Pending at end of FY	3	17	30	10	16
PERSONNEL & COST DATA					
Number of FTE in FOIA Office	34	30	28	29	27.42
Total of FOIA Liaison FTE	9	3	2.55	1.92	9.4
Total FOIA Staff	43	33	30.55	30.92	36.82
Processing Costs	\$8,078,065	\$4,149,144.62	\$4,731,004.76	\$4,051,596.53	\$5,129,895
Litigation - Related Costs	\$134,564	\$288,184.40	\$231,785.00	\$244,370	\$132,600
Total FOIA Costs	8,212,629	\$4,437,329.02	\$4,962,789.76	\$4,295,966.53	\$5,262,495
FOIA Fees Collected	\$41,029.68	\$19,890.07	\$22,670.81	35,954.30	\$27,577
Percentage of Total FOIA Costs	.51%	.44%	.48%	.83%	.54%
AVERAGE PROCESSING TIME - DAYS					
Simple requests	16.49	14.89	12.93	14.51	13.72
Complex requests	347	408	601	514	325
* 427 appeals were submitted by Probes Reporter, LLC					

**ANNUAL FOIA REPORT
BREAKDOWN OF WORKLOAD VOLUME BY REQUESTOR TYPE FOR FY 16**

FOIA REQUESTS BY CATEGORY OF REQUESTOR	FY 16 Requests Rec'd	% of total requests rec'd	
Commercial	7959	55%	
News Media	3255	22%	
Educational	1749	12%	
Government	25	1%	
Other	1470	10%	
Total Requests Received	14458	100%	
Breakdown of Commercial Requestors		% of All requests rec'd	Type of records requested
International Business Research – A Commercial Reporting Agency	654	4%	Due diligence on broker dealers, investment advisors and firms, background checks for employment and asset and liability checking
Check Fund Manager LLC	1553	11%	Due diligence on broker dealers, investment advisors and firms and corporate background checks.
RoyaltyStat, LLC	38	0%	Confidential exhibits to registration related filings
Bioscience Advisors	848	6%	Confidential exhibits to registration related filings
EACM Advisors LLC – ABNY Mellon Asset Management Co.	704	5%	Due diligence on broker dealers, investment advisors and firms, background checks for employment and asset/liability checks.
Other commercial entities	4162	29%	Attorneys representing clients; small scale due diligence.
Total Commercial requests	7959	55%	
Breakdown of Media Requestors	Number of Requests Filed	% of All requests rec'd	
Probes Reporter, LLC	2639	18%	Records on pending ENF matters
Other media entities	616	4%	Variety of subject matters
Total media requests	3255	22%	

TEN OLDEST PENDING FOIA REQUESTS and APPEALS at END OF FY 16
As noted in Sections VI.C.(5) and VII.E. of the Annual Report

Oldest	FOIA Number	Received Date	Subject	Current Status
1	13-00010-FIFO	06/11/2013	Transcripts of testimony in the Matter of Wisconsin School District CDO Investments	In Process
2	13-00011-FIFO	08/08/2013	Records of investigation in the investment fraud/Ponzi complaint that was filed against Michael Rapley and Andrew Garrett in 2010	In Process
3	13-00012-FIFO	08/09/2013	Money market funds	In Process
4	14-00002-FIFO	10/10/2013	Transactions in Securities in NY	On Hold
5	14-00003-FIFO	02/11/2014	Chevron Corporation, and the filing of the SEC complaint against Chevron in the Matter of Securities and Exchange Commission v. Chevron Corporation, Case No. 07-cv-10299 (S.D.N.Y.) (SHS)	On Hold
6	14-00004-FIFO	02/04/2014	All docs relating to OIG Case No. 578	On Hold
7	14-00005-FIFO	03/18/2014	Investigation records of Goldman Sachs File No. 3-14845	On Hold
8	14-00006-FIFO	03/21/2014	Value Line Inc.	On Hold
9	14-00011-FIFO	06/06/2014	Bear Stearns	On Hold
10	15-00004-FIFO	02/19/2015	Communications between a research analyst and a potential issuer on various topics	On Hold
Oldest	APPEAL Number	Received Date	Subject	Date request sent to OGC
1	16-00187-APPS	01/05/2016	Chiquita Brands International	01/05/2016
2	16-00614-APPS	08/26/2016	Empire State Realty Trust Inc.	08/26/2016
3	16-00653-APPS	09/30/2016	Parallel construction	09/30/2016
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