

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

<b>FOIA REQUESTS</b>	<b>FY18</b>	<b>FY17</b>	<b>FY16</b>	<b>FY15</b>	<b>FY14</b>
Requests Received in FY	14229	13063	14458	16898	14862
Requests Processed in FY	14248	13069	15196	16207	14757
Requests Pending at end of FY	540	559	550	1298	595
<b>FOIA APPEALS</b>					
Appeals Received in FY	621	624	653	495	452
Appeals Processed in FY	637	605	667	505	432
Appeals Pending at end of FY	6	22	3	17	30
<b>PERSONNEL &amp; COST DATA</b>					
Number of FTE in FOIA Office	34	34.5	34	30	28
Total of FOIA Liaison FTE	10	6.47	9	3	2.55
Total FOIA Staff	44	40.97	43	33	30.55
Processing Costs	\$9,096,609	\$7,895,241	\$8,078,065	\$4,149,144.62	\$4,731,004.76
Litigation - Related Costs	\$186,604	\$381,224	\$134,564	\$288,184.40	\$231,785.00
Total FOIA Costs	\$9,283,213	\$8,276,465	\$8,212,629	\$4,437,329.02	\$4,962,789.76
FOIA Fees Collected	\$33,179.65	\$35,025.15	\$41,029.68	\$19,890.07	\$22,670.81
Percentage of Total FOIA Costs	.36%	.44%	.51%	.44%	.48%
<b>AVERAGE PROCESSING TIME - DAYS</b>					
Simple requests	11.79	12.5	16.49	14.89	12.93
Complex requests	726	733	347	408	601

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BREAKDOWN OF WORKLOAD VOLUME BY REQUESTOR TYPE FOR FY 17**

<b>FOIA REQUESTS BY CATEGORY OF REQUESTOR</b>	<b>FY 18 Requests Rec'd</b>	<b>% of total requests rec'd</b>	
<b>Commercial</b>	<b>9132</b>	<b>64%</b>	
<b>News Media</b>	<b>3173</b>	<b>22%</b>	
<b>Educational</b>	<b>427</b>	<b>3%</b>	
<b>Government</b>	<b>15</b>	<b>&gt;1%</b>	
<b>Other</b>	<b>1482</b>	<b>10%</b>	
<b><i>Total Requests Received</i></b>	<b><i>14229</i></b>	<b><i>100%</i></b>	
<b>Breakdown of Commercial Requestors</b>		<b>% of All requests rec'd</b>	<b>Type of records requested</b>
<b>Clarivate Analytics</b>	<b>1399</b>	<b>10%</b>	<b>Confidential exhibits to registration related filings</b>
<b>Bioscience Advisors</b>	<b>1304</b>	<b>10%</b>	<b>Confidential exhibits to registration related filings</b>
<b>Sectilis</b>	<b>1149</b>	<b>8%</b>	<b>Confidential exhibits to registration related filings</b>
<b>AUS Consultants</b>	<b>1060</b>	<b>7%</b>	<b>Due diligence on broker dealers, investment advisors and firms and corporate background checks</b>
<b>ktMINE</b>	<b>935</b>	<b>6%</b>	<b>Confidential exhibits to registration related filings</b>
<b>Other commercial entities</b>	<b>3285</b>	<b>23%</b>	<b>Attorneys representing clients; small scale due diligence, small scale confidential exhibits</b>
<b><i>Total Commercial requests</i></b>	<b><i>9132</i></b>	<b><i>64%</i></b>	
<b>Breakdown of Media Requestors</b>	<b>Number of Requests Filed</b>	<b>% of All requests rec'd</b>	
<b>SECProbes.com (John Gavin)</b>	<b>2563</b>	<b>18</b>	<b>Records on ENF matters</b>
<b>Other media entities</b>	<b>610</b>	<b>4</b>	<b>Variety of subject matters</b>
<b><i>Total media requests</i></b>	<b><i>3173</i></b>	<b><i>22%</i></b>	

**TEN OLDEST PENDING FOIA REQUESTS and APPEALS at END OF FY 18**  
**As noted in Sections VI.C.(5) and VII.E. of the Annual Report**

<b>Oldest</b>	<b>FOIA Number</b>	<b>Received Date</b>	<b>Subject</b>	<b>Current Status</b>
1	14-00004-FIFO	02/04/2014	All docs relating to OIG Case No. 578	In Process
2	15-00027-FIFO	09/15/2015	Emails To/From staff and house.gov or senate.gov	In Process
3	16-00008-FIFO	10/09/2015	List of issuers referred by Corp Fin to Enforcement	In Process
4	16-00032-FIFO	02/12/2016	Robert Booth Nichols	In Process
5	16-00036-FIFO	04/05/2016	Emails between OCA and PCAOB since January 2011	In Process
6	18-00011-FIFO	08/01/2016	Management Solutions, Inc.	In Process
7	16-00038-FIFO	09/02/2016	SEC Rule 15c3-1 and 15c3-3 from January 1, 2000	On-Hold
8	17-00001-FIFO	12/14/2016	Production records in response to HO-12376	On-Hold
9	17-00003-FIFO	12/23/2016	inContact between 2015 and 2016	On-Hold
10	17-00002-FIFO	02/03/2017	Data from TCR form	On-Hold
<b>Oldest</b>	<b>APPEAL Number</b>	<b>Received Date</b>	<b>Subject</b>	<b>Date request sent to OGC</b>
1	18-00575-APPS	09/05/2018	Empire State Realty Trust, Inc.	09/05/2018
2	18-00578-APPS	09/11/2018	List of SEC FCPA unit attorneys	09/11/2018
3	18-00621-APPS	09/20/2018	Sempra Energy and San Diego Gas & Electric	09/20/2018
4	18-00623-APPS	09/27/2018	Michael Piwowar travel	09/27/2018
5	18-00625-APPS	09/28/2018	SEC v. Arthur Nadel	09/28/2018
6	18-00626-APPS	09/28/2018	Miller Energy Resources, Inc. and KPMG US LLP	09/28/2018
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