

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

<b>FOIA REQUESTS</b>	<b>FY19</b>	<b>FY18</b>	<b>FY17</b>	<b>FY16</b>	<b>FY15</b>
Requests Received in FY	11546	14229	13063	14458	16898
Requests Processed in FY	11487	14248	13069	15196	16207
Requests Pending at end of FY	599	540	559	550	1298
<b>FOIA APPEALS</b>					
Appeals Received in FY	596	621	624	653	495
Appeals Processed in FY	587	637	605	667	505
Appeals Pending at end of FY	15	6	22	3	17
<b>PERSONNEL &amp; COST DATA</b>					
Number of FTE in FOIA Office	32	34	34.5	34	30
Total of FOIA Liaison FTE	10	10	6.47	9	3
Total FOIA Staff	42	44	40.97	43	33
Processing Costs	\$7,238,733.49	\$9,096,609	\$7,895,241	\$8,078,065	\$4,149,144.62
Litigation - Related Costs	\$343,201.68	\$186,604	\$381,224	\$134,564	\$288,184.40
Total FOIA Costs	\$7,581,935.17	\$9,283,213	\$8,276,465	\$8,212,629	\$4,437,329.02
FOIA Fees Collected	\$17,921.90	\$33,179.65	\$35,025.15	\$41,029.68	\$19,890.07
Percentage of Total FOIA Costs	.24%	.36%	.44%	.51%	.44%
<b>AVERAGE PROCESSING TIME. DAYS</b>					
Simple requests	16.89	11.79	12.5	16.49	14.89
Complex requests	574	726	733	347	408

**ANNUAL FOIA REPORT  
BREAKDOWN OF WORKLOAD VOLUME BY REQUESTOR TYPE FOR FY 19**

<b>FOIA REQUESTS BY CATEGORY OF REQUESTOR</b>	<b>FY 19 Requests Rec'd</b>	<b>% of total requests rec'd</b>	
Commercial	6238	54%	
News Media	2984	26%	
Educational	747	6%	
Government	20	>1%	
Other	1557	13%	
<b>Total Requests Received</b>	<b>11546</b>	<b>100%</b>	
<b>Breakdown of Commercial Requestors</b>		<b>% of All requests rec'd</b>	<b>Type of records requested</b>
AUS Consultants	1356	12%	Confidential exhibits to registration related filings
Bioscience Advisors	983	9%	Confidential exhibits to registration related filings
Sectilis LLC	662	6%	Confidential exhibits to registration related filings
Check Fund Manager LLC	634	5%	Due diligence on broker dealers, investment advisors, and firms and corporate background checks
Venture Valuation AG	317	3%	Confidential exhibits to registration related filings
ktMINE	264	2%	Confidential exhibits to registration related filings
Clarivate Analytics	156	1%	Confidential exhibits to registration related filings
Other commercial entities	1866	16%	Attorneys representing clients; small scale due diligence, small scale confidential exhibits
<b>Total Commercial requests</b>	<b>6238</b>	<b>54%</b>	
<b>Breakdown of Media Requestors</b>	<b>Number of Requests Filed</b>	<b>% of All requests rec'd</b>	
SECProbes.com (John Gavin)	2531	22%	Records on ENF matters
Other media entities	453	4%	Variety of subject matters
<b>Total media requests</b>	<b>2984</b>	<b>26%</b>	

**TEN OLDEST PENDING FOIA REQUESTS and APPEALS at END OF FY 19**  
**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	15-00027-FIFO	09/15/2015	Emails To/From staff and house.gov or senate.gov	In Process
2	16-00008-FIFO	10/09/2015	List of issuers referred by Corp Fin to Enforcement	In Process
3	16-00032-FIFO	02/12/2016	Robert Booth Nichols	In Process
4	16-00036-FIFO	04/05/2016	Emails between OCA and PCAOB since January 2011	In Process
5	18-00011-FIFO	08/01/2016	Management Solutions, Inc.	In Process
6	16-00038-FIFO	09/02/2016	SEC Rule 15c3-1 and 15c3-3 from January 1, 2000	In Process
7	17-00001-FIFO	12/14/2016	Production records in response to HO-12376	On-Hold
8	17-00003-FIFO	12/23/2016	inContact between 2015 and 2016	On-Hold
9	17-00002-FIFO	02/03/2017	Data from TCR form	On-Hold
10	17-00004-FIFO	02/15/2017	General Mills from 2003 to 2005	On-Hold
<b>Oldest</b>	<b>APPEAL Number</b>	<b>Received Date</b>	<b>Subject</b>	<b>Date request sent to OGC</b>
1	19-00130-APPS	12/10/2018	SEC Edgar Logfiles	12/10/2018
2	19-00263-APPS	3/18/2019	Edgar Log File Data Set from July 2017 to present	3/19/2019
3	19-00342-APPS	5/3/2019	Energous Corp. and name of significant customer and text of its contract	5/6/2019
4	19-00514-APPS	8/16/2019	All e-mails from November 1 to 30, 2018 concerning a staff member's departure from SEC	8/19/2019
5	19-00572-APPS	9/18/2019	Compliance & Disclosure Interpretations: Non-GAAP Financial Measures	9/19/2019
6	19-00576-APPS	9/20/2019	Preferred Income Collateralized Interest, Ltd administrative proceeding	9/20/2019
7	19-00577-APPS	9/20/2019	Preferred Income Collateralized Interest, Ltd investigative records	9/20/2019
8	19-00580-APPS	9/20/2019	Juan Carlos Cortes investigative records	9/20/2019
9	19-00582-APPS	9/20/2019	Juan Carlos Cortes administrative proceeding	9/20/2019
10	19-00586-APPS	9/20/2019	SG Strategic Income, Ltd investigative records	9/20/2019