

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

FOIA REQUESTS	FY20	FY19	FY18	FY17	FY16
Requests Received in FY	13300	11546	14229	13063	14458
Requests Processed in FY	13258	11487	14248	13069	15196
Requests Pending at end of FY	641	599	540	559	550
FOIA APPEALS					
Appeals Received in FY	585	596	621	624	653
Appeals Processed in FY	599	587	637	605	667
Appeals Pending at end of FY	1	15	6	22	3
PERSONNEL & COST DATA					
Number of FTE in FOIA Office	30	32	34	34.5	34
Total of FOIA Liaison FTE	8.46	10	10	6.47	9
Total FOIA Staff	38.46	42	44	40.97	43
Processing Costs	\$9,700,308	\$7,238,733	\$9,096,609	\$7,895,241	\$8,078,065
Litigation - Related Costs	\$461,496	\$343,201	\$186,604	\$381,224	\$134,564
Total FOIA Costs	\$10,161,804	\$7,581,935	\$9,283,213	\$8,276,465	\$8,212,629
FOIA Fees Collected	\$13,791	\$17,921	\$33,179	\$35,025	\$41,029
Percentage of Total FOIA Costs	.14%	.24%	.36%	.44%	.51%
AVERAGE PROCESSING TIME. DAYS					
Simple requests	13.79	16.89	11.79	12.5	16.49
Complex requests	689	574	726	733	347

**ANNUAL FOIA REPORT
BREAKDOWN OF WORKLOAD VOLUME BY REQUESTOR TYPE FOR FY 20**

FOIA REQUESTS BY CATEGORY OF REQUESTOR	FY20 Requests Rec'd	% of total requests rec'd	
Commercial	6215	46%	
News Media	2826	21%	
Educational	280	2%	
Government	12	1%	
Other	3967	30%	
Total Requests Received	13300	100%	
Breakdown of Commercial Requestors		% of All requests rec'd	Type of records requested
Other commercial entities	1780	13%	Attorneys representing clients; small scale due diligence, small scale confidential exhibits
AUS Consultants	950	7%	Confidential exhibits to registration related filings
Clarivate Analytics	888	7%	Confidential exhibits to registration related filings
ktMINE	827	6%	Confidential exhibits to registration related filings
Bioscience Advisors	651	5%	Confidential exhibits to registration related filings
Check Fund Manager LLC	642	5%	Due diligence on broker dealers, investment advisors, and firms and corporate background checks
Venture Valuation AG	309	2%	Confidential exhibits to registration related filings
Sectilis LLC	168	1%	Confidential exhibits to registration related filings
Total Commercial requests	6215	46%	
Breakdown of Media Requestors	Number of Requests Filed	% of All requests rec'd	
Probes Reporter (John Gavin)	2485	18%	Records on ENF matters
Other media entities	341	3%	Variety of subject matters
Total media requests	2826	21%	

TEN OLDEST PENDING FOIA REQUESTS and APPEALS at END OF FY 20
As noted in Sections VI.C.(5) and VII.E. of the Annual Report

Oldest	FOIA Number	Received Date	Subject	Current Status
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 that CF referred to ENF for further investigation for the time period 2003 to 2007	In Process
3	18-00011-FIFO	8/1/2016	Policies pertaining to searching electronic communication	In Process
4	17-00003-FIFO	12/23/2016	inContact between 2015 and 2016	In Process
5	17-00013-FIFO	7/7/2017	In the Matter of Certain Trading in Threshold Securities. (NY-7729)	In Process
6	18-00001-FIFO	9/15/2017	Management Solutions, Inc. for the years 2007 through 2016.	On-Hold
7	18-00003-FIFO	10/23/2017	Founding Partners Capital Management Co. and William L. Gunlicks.	On-Hold
8	18-00004-FIFO	12/7/2017	Previous TCR that contain the word base "Bsylum"	On-Hold
9	18-00008-FIFO	1/10/2018	Republic National Bank of New York	On-Hold
10	18-00009-FIFO	1/10/2018	Republic New York Securities Corporation	On-Hold
Oldest	APPEAL Number	Received Date	Subject	Date request sent to OGC
1	20-00584-APPS	9/29/2020	Elon Musk	09/30/2020