

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

| FOIA REQUESTS | FY17 | FY16 | FY15 | FY14 | FY13 |
|---------------------------------------|-------------|-------------|----------------|----------------|----------------|
| Requests Received in FY | 13063 | 14458 | 16898 | 14862 | 12275 |
| Requests Processed in FY | 13069 | 15196 | 16207 | 14757 | 12167 |
| Requests Pending at end of FY | 559 | 550 | 1298 | 595 | 490 |
| FOIA APPEALS | | | | | |
| Appeals Received in FY | 624 | 653 | 495 | 452 | 143 |
| Appeals Processed in FY | 605 | 667 | 505 | 432 | 149 |
| Appeals Pending at end of FY | 22 | 3 | 17 | 30 | 10 |
| PERSONNEL & COST DATA | | | | | |
| Number of FTE in FOIA Office | 34.5 | 34 | 30 | 28 | 29 |
| Total of FOIA Liaison FTE | 6.47 | 9 | 3 | 2.55 | 1.92 |
| Total FOIA Staff | 40.97 | 43 | 33 | 30.55 | 30.92 |
| Processing Costs | \$7,895,241 | \$8,078,065 | \$4,149,144.62 | \$4,731,004.76 | \$4,051,596.53 |
| Litigation - Related Costs | \$381,224 | \$134,564 | \$288,184.40 | \$231,785.00 | \$244,370 |
| Total FOIA Costs | \$8,276,465 | \$8,212,629 | \$4,437,329.02 | \$4,962,789.76 | \$4,295,966.53 |
| FOIA Fees Collected | \$35,025.15 | \$41,029.68 | \$19,890.07 | \$22,670.81 | 35,954.30 |
| Percentage of Total FOIA Costs | .44% | .51% | .44% | .48% | .83% |
| AVERAGE PROCESSING TIME - DAYS | | | | | |
| Simple requests | 12.5 | 16.49 | 14.89 | 12.93 | 14.51 |
| Complex requests | 733 | 347 | 408 | 601 | 514 |

**ANNUAL FOIA REPORT
BREAKDOWN OF WORKLOAD VOLUME BY REQUESTOR TYPE FOR FY 17**

| FOIA REQUESTS BY CATEGORY OF REQUESTOR | FY 17 Requests Rec'd | % of total requests rec'd | |
|---|---------------------------------|----------------------------------|--|
| Commercial | 7407 | 57% | |
| News Media | 3063 | 23% | |
| Educational | 1335 | 10% | |
| Government | 21 | >1% | |
| Other | 1237 | 9% | |
| Total Requests Received | 13063 | 100% | |
| | | | |
| Breakdown of Commercial Requestors | | % of All requests rec'd | Type of records requested |
| RoyaltyStat, LLC | 1324 | 10% | Confidential exhibits to registration related filings |
| Clarivate Analytics | 1294 | 10% | Confidential exhibits to registration related filings |
| Bioscience Advisors | 853 | 7% | Confidential exhibits to registration related filings |
| Check Fund Manager LLC | 740 | 6% | Due diligence on broker dealers, investment advisors and firms and corporate background checks |
| AUS Consultants | 721 | 6% | Confidential exhibits to registration related filings |
| Other commercial entities | 2475 | 19% | Attorneys representing clients; small scale due diligence, small scale confidential exhibits |
| Total Commercial requests | 7407 | 58% | |
| | | | |
| Breakdown of Media Requestors | Number of Requests Filed | % of All requests rec'd | |
| SECProbes.com (John Gavin) | 2576 | 18% | Records on pending ENF matters |
| Other media entities | 487 | 4% | Variety of subject matters |
| Total media requests | 3063 | 22% | |
| | | | |

TEN OLDEST PENDING FOIA REQUESTS and APPEALS at END OF FY 17
As noted in Sections VI.C.(5) and VII.E. of the Annual Report

| Oldest | FOIA Number | Received Date | Subject | Current Status |
|---------------|----------------------|----------------------|--|---------------------------------|
| 1 | 14-00003-FIFO | 01/28/2014* | 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) | In Process |
| 2 | 14-00004-FIFO | 02/04/2014 | All docs relating to OIG Case No. 578 | In Process |
| 3 | 15-00005-FIFO | 01/26/2015 | The Baupost Group LLC | In Process |
| 4 | 15-00004-FIFO | 02/06/2015* | Communications between a research analyst and a potential issuer on various topics | In Process |
| 5 | 15-00007-FIFO | 02/11/2015 | JP Morgan Chase & Co. and securities offering by Toys "R" Us in 2010 | In Process |
| 6 | 16-00035-FIFO | 03/30/2015 | SEC vs. Daimler AG, Case 1:10-cv-00473 | In Process |
| 7 | 15-00011-FIFO | 07/15/2015 | Records from OIG 526 and OIG 516 | In Process |
| 8 | 15-00028-FIFO | 09/08/2015 | 26-part request for AP and ALJ records | In Process |
| 9 | 16-00014-OIG | 05/04/2016 | OIG Report No. 432 Oversight of Receivers and Distribution Agents | In Process |
| 10 | 16-03636-FOIA | 06/15/2016 | Policies pertaining to searching electronic communications | In Process |
| | | | | |
| Oldest | APPEAL Number | Received Date | Subject | Date request sent to OGC |
| 1 | 17-00141-APPS | 12/15/2016 | In the Matter of SEC v. Nelson J. Obus, et al | 12/22/2016 |
| 2 | 17-00162-APPS | 01/12/2017 | Las Vegas Sands | 01/13/2017 |
| 3 | 17-00164-APPS | 01/13/2017 | Records related to an individual | 01/13/2017 |
| 4 | 17-00182-APPS | 01/27/2017 | Goldman Sachs, Administrative Proceeding File No. 3-14845 | 01/27/2017 |
| 5 | 17-00264-APPS | 03/07/2017 | Hartford Life Insurance Company, et al | 03/08/2017 |
| 6 | 17-00363-APPS | 05/02/2017 | Carl Icahn | 05/02/2017 |
| 7 | 17-00379-APPS | 05/08/2017 | Leon Cooperman, Omega Advisors | 05/08/2017 |
| 8 | 17-00380-APPS | 05/08/2017 | Omega Advisors | 05/08/2017 |
| 9 | 17-00401-APPS | 05/23/2017 | Rootstrikers | 05/24/2017 |
| 10 | 17-00449-APPS | 06/21/2017 | List of cases declined for prosecution since 2013 | 06/22/2017 |

* The received date has been revised to correct a reporting discrepancy from the FY16 Annual Report.