

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

FOIA REQUESTS	FY23	FY22	FY21	FY20	FY19
Requests Received in FY	9481	10000	12363	13300	11546
Requests Processed in FY	9022	9856	12171	13258	11487
Requests Pending at end of FY	1436	977	833	641	599
FOIA APPEALS					
Appeals Received in FY	632	611	647	585	596
Appeals Processed in FY	631	612	645	599	587
Appeals Pending at end of FY	3	2	3	1	15
PERSONNEL & COST DATA					
Number of FTE in FOIA Office	27	25	26	30	32
Total of FOIA Liaison FTE	8.9	7.17	7.30	8.46	10
Total FOIA Staff	35.9	32.17	33.3	38.46	42
Processing Costs	\$12,467,072	\$7,177,875	\$9,273,658	\$9,700,308	\$7,238,733
Litigation - Related Costs	\$794,083	\$317,456	\$199,884	\$461,496	\$343,201
Total FOIA Costs	\$13,261,155	\$7,495,331	\$9,473,542	\$10,161,804	\$7,581,934
FOIA Fees Collected	\$658	\$5,201	\$7,711	\$13,791	\$17,921
Percentage of Total FOIA Costs	.01%	.07%	.08%	.14%	.24%
AVERAGE PROCESSING TIME - DAYS					
Simple requests	5.9	7.78	16.23	13.79	16.89
Complex requests	62.25	73	697	689	574

**ANNUAL FOIA REPORT
BREAKDOWN OF WORKLOAD VOLUME BY REQUESTOR TYPE FOR FY 23**

FOIA REQUESTS BY CATEGORY OF REQUESTOR	FY23 Requests Rec'd	% of total requests rec'd	
Commercial	3,728	39%	
News Media	3,214	34%	
Educational	745	8%	
Government	20	<1%	
Other	1,774	19%	
Total Requests Received	9,481	100%	
Breakdown of Commercial Requestors		% of All requests rec'd	Type of records requested
Other commercial entities	1,363	37%	Attorneys representing clients; small scale due diligence, small scale confidential exhibits
Check Fund Manager LLC	837	22%	Due diligence on broker dealers, investment advisors, and firms and corporate background checks
RoyaltyRange/RoyaltyStat	639	17%	Confidential exhibits to registration related filings
Venture Valuation AG	271	7%	Confidential exhibits to registration related filings
Clarivate Analytics	245	7%	Confidential exhibits to registration related filings
ktMINE	234	6%	Confidential exhibits to registration related filings
AUS Consultants	139	4%	Confidential exhibits to registration related filings
Total Commercial requests	3,728	39%	
Breakdown of Media Requestors	Number of Requests Filed	% of All requests rec'd	
SECProbes.com (John Gavin)	2,580	80%	Records on ENF matters
Other media entities	634	20%	Variety of subject matters
Total media requests	3,214	34%	

TEN OLDEST PENDING FOIA REQUESTS and APPEALS at END OF FY 23
As noted in Sections VI.C.(5) and VII.E. of the Annual Report

Oldest	FOIA Number	Received Date	Subject	Current Status
1	17-00013-FIFO	7/7/2017	In the Matter of Certain Trading in Threshold Securities. (NY-7729)	In Process
2	18-00013-FIFO	6/27/2018	any investigative materials related to Gray's work in New Haven. Information concerning Larry Gray (18-01346-FOIA), and Gray Financial Group, Inc. (18-01347-FOIA)	On Hold
3	19-00004-FIFO	11/27/2018	F & S Asset Management Group, Inc.	On Hold
4	19-00011-FIFO	7/17/2019	Records from September 2007 to the present concerning Trading in Threshold Securities, to include depositions, testimony, discovery and other documents	On Hold
5	19-00012-FIFO	8/7/2019	all records that mention or reference the WikiLeaks website or organization from January 2006 to the present, to include emails, memos, notes, briefings, and reports	On Hold
6	20-00005-FIFO	12/18/2019	All Commission records regarding the deceased foreign national Adnan Khashoggi	On Hold
7	20-00006-FIFO	1/7/2020	Records regarding the SEC's involvement in the liquidation of funds concerning Investors Overseas Service (I.O.S.)	On Hold
8	20-00974-FOIA	2/10/2020	Outside Legal Counsel hired by the Securities & Exchange Commission	In Process
9	20-00008-FIFO	2/11/2020	records of any investigations concerning SUNRUN, Inc.	On Hold
10	20-00010-FIFO	5/19/2020	Investigative records concerning CMKM Diamonds Inc. CMKX, Robert Maheu IBM, Attorney Al Hodges, Attorney Bill Frizzell, Urban Casavant or Shore Gold Canada since November 26, 2002.	On Hold
Oldest	APPEAL Number	Received Date	Subject	Date request sent to OGC
1	23-00472-APPS	6/19/2023	Commissioner votes for the SEC lawsuit filed against Covington & Burling LLP in the U.S. District Court of D.C. on Jan. 10, 2023	6/23/2023
2	23-00485-APPS	6/27/2023	Investigative records regarding Zachary J Horwitz, 1inMM Capital LLC and Case No. 2:21-cv-02927 between Jan. 1, 2015 to the present	6/29/2023
3	23-00633-APPS	9/29/2023	Any SEC investigations of TAL Education Group that were active at any time in calendar year 2022	10/3/2023