

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

FOIA REQUESTS	FY22	FY21	FY20	FY19	FY18
Requests Received in FY	10000	12363	13300	11546	14229
Requests Processed in FY	9856	12171	13258	11487	14248
Requests Pending at end of FY	977	833	641	599	540
FOIA APPEALS					
Appeals Received in FY	611	647	585	596	621
Appeals Processed in FY	612	645	599	587	637
Appeals Pending at end of FY	2	3	1	15	6
PERSONNEL & COST DATA					
Number of FTE in FOIA Office	25	26	30	32	34
Total of FOIA Liaison FTE	7.17	7.30	8.46	10	10
Total FOIA Staff	32.17	33.3	38.46	42	44
Processing Costs	\$7,177,875	\$9,273,658	\$9,700,308	\$7,238,733	\$9,096,609
Litigation - Related Costs	\$317,456	\$199,884	\$461,496	\$343,201	\$186,604
Total FOIA Costs	\$7,495,331	\$9,473,542	\$10,161,804	\$7,581,934	\$9,283,213
FOIA Fees Collected	\$5,201	\$7,711	\$13,791	\$17,921	\$33,179
Percentage of Total FOIA Costs	.07	.08	.14%	.24%	.36%
AVERAGE PROCESSING TIME - DAYS					
Simple requests	7.78	16.23	13.79	16.89	11.79
Complex requests	73	697	689	574	726

**ANNUAL FOIA REPORT
BREAKDOWN OF WORKLOAD VOLUME BY REQUESTOR TYPE FOR FY 22**

FOIA REQUESTS BY CATEGORY OF REQUESTOR	FY22 Requests Rec'd	% of total requests rec'd	
Commercial	4,521	45%	
News Media	3,310	33%	
Educational	861	9%	
Government	24	<1%	
Other	1,284	13%	
Total Requests Received	10,000	100%	
Breakdown of Commercial Requestors		% of All requests rec'd	Type of records requested
Other commercial entities	1,795	18%	Attorneys representing clients; small scale due diligence, small scale confidential exhibits
AUS Consultants	1,151	12%	Confidential exhibits to registration related filings
Check Fund Manager LLC	786	8%	Due diligence on broker dealers, investment advisors, and firms and corporate background checks
ktMINE	306	3%	Confidential exhibits to registration related filings
Clarivate Analytics	159	1%	Confidential exhibits to registration related filings
Sectilis LLC	148	1%	Confidential exhibits to registration related filings
Venture Valuation AG	90	1%	Confidential exhibits to registration related filings
Bioscience Advisors	86	1%	Confidential exhibits to registration related filings
Total Commercial requests	4,521	45%	
Breakdown of Media Requestors	Number of Requests Filed	% of All requests rec'd	
SECProbes.com (John Gavin)	2,625	26%	Records on ENF matters
Other media entities	685	7%	Variety of subject matters
Total media requests	3,310	33%	

TEN OLDEST PENDING FOIA REQUESTS and APPEALS at END OF FY 22
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)	In Process
3	19-00001-FIFO	11/1/2018	videotape depositions in the Teradata and Brumfield matters for 10 individuals	In Process
4	19-00004-FIFO	11/27/2018	F & S Asset Management Group, Inc.	On Hold
5	19-00007-FIFO	6/25/2019	Copies of all correspondence including electronic emails, transcripts of phone calls or live meetings pursuant to and in response to the suggestion made by President Donald Trump via tweet on Thursday August 16, 2018 that the Securities and Exchange Commission consider modifying mandated reporting by public companies from quarterly to semiannually.	On Hold
6	19-00010-FIFO	7/15/2019	Commission records concerning SEC FOIA processing over the past 15 years	On Hold
7	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
8	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
9	20-00005-FIFO	12/18/2019	All Commission records regarding the deceased foreign national Adnan Khashoggi	On Hold
10	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
Oldest	APPEAL Number	Received Date	Subject	Date request sent to OGC
1	22-00596-APPS	9/8/2022	a copy of an OIG Report and all exhibits and attachments thereto from OIG's inquiry into our client, Tracey McNeil, formerly the Commission's Ombudsman	9/12/2022
2	23-00001-APPS	9/30/2022	all drafts of the Hinman speech circulated within the SEC prior to June 14, 2018	10/6/2022