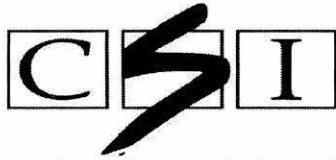


18-02280-T



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◆ 64 Pratt Street, Mansfield, MA 02048 ◆ Ph: (508) 339-5451 ◆ Fax: (508) 337-6745 ◆ www.creativeservices.com

April 25, 2018

To Whom It May Concern:

Under the Freedom of Information Act, please conduct a search on the following individual regarding any consumer complaints, civil actions, investigations and/or any disciplinary actions. We authorize the initial fee of \$61.00. Please limit your research to the last seven (7) years. Also, please limit your response to only the initial information obtained. If necessary, we will request additional information at a later date.

First Name: **Paul**
Middle Name/Initial: **Thomas**
Last Name: **Tracy**



Previous Employer(s) (including period of employment):

Arrowstreet Capital
Boston, MA
07/2016 to present

Eze Software Group
Boston, MA
11/2011 to 06/2016

Should you have any questions regarding our request, please contact **Lindsey Sullivan, Carly Brousseau or Alex Tannock**. Thank you in advance for your assistance.

Sincerely,
Carly Brousseau

Lindsey Sullivan, Ops Manager.
Creative Services, Inc.
(508) 339-5451 x. 212
lsullivan@creativeservices.com

Carly Brousseau, Supervisor
Creative Services, Inc.
(508) 339-5451 x. 227
cbrousseau@creativeservices.com

Alex Tannock, Supervisor
Creative Services, Inc.
(508) 339-5451 x. 201
atannock@creativeservices.com

foiapa

From: Carly B. Brousseau <cbrousseau@creativeservices.com>
Sent: Wednesday, April 25, 2018 3:59 PM
To: foiapa
Cc: SEC Searches
Subject: SEC Search Request
Attachments: SEC Search Request.pdf

Good Afternoon,

Please conduct an SEC search on Paul T. Tracy. See attached.

Thank you!
Carly

Carly Brousseau
Corporate Investigation Supervisor
Creative Services, Inc.
p 508-339-5451 x227
f 508-339-2352

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UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
STATION PLACE
100 F STREET, NE
WASHINGTON, DC 20549-2465

Office of FOIA Services

May 2, 2018

Ms. Carly Brousseau
Creative Services, Inc.
64 Pratt Street,
Mansfield, MA 02048

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 18-02280-T

Dear Ms. Brousseau:

This letter responds to your request, dated April 25, 2018 and received in this office on April 25, 2018, for records of any consumer complaints, civil actions, investigations and/or any disciplinary actions concerning Paul Thomas Tracy.

Consumer Complaints

Based on the information you provided in your letter, we conducted a search of the SEC's consumer complaints systems of records, but did not locate any records responsive to your request. If you still have reason to believe that the SEC maintains the records you seek, please provide us with additional information, which could prompt another search. Otherwise, we conclude we have no responsive records to this portion of your request.

Investigations

We can neither confirm nor deny the existence of any records responsive to your request. If such records were to exist, they would be exempt from disclosure pursuant to FOIA Exemptions 6 and/or (7)(C), 5 U.S.C. § 552(b)(6) and (7)(C), 17 CFR § 200.80(b)(6) and (7)(iii). Under Exemption 6 the release of this type of information would constitute a clearly unwarranted invasion of personal privacy. Under Exemption 7(C) release of such information could reasonably be expected to constitute an unwarranted invasion of personal privacy. By outlining the provisions of these exemptions, we do not mean to imply in any way that records responsive to your request exist.

Please note that final actions taken based on SEC investigations, including administrative proceedings, disciplinary actions and civil complaints are publicly available at <https://www.sec.gov/litigation.shtml>.

You have the right to appeal this response to the SEC's General Counsel under 5 U.S.C. § 552(a)(6), 17 CFR § 200.80(d)(5)(iv). The appeal must be received within ninety (90) calendar days of the date of this decision. Your appeal must be in writing, clearly marked "Freedom of Information Act Appeal," and should identify the requested records. The appeal may include facts and authorities you consider appropriate.

You may file your appeal by completing the online Appeal form located at https://www.sec.gov/forms/request_appeal, or mail your appeal to the Office of FOIA Services of the Securities and Exchange Commission located at Station Place, 100 F Street NE, Mail Stop 2465, Washington, D.C. 20549, or deliver it to Room 1120 at that address. Also, send a copy to the SEC Office of the General Counsel, Mail Stop 9612, or deliver it to Room 1120 at the Station Place address.

If you have any questions, please contact me at mandicf@sec.gov. You may also contact me at foiapa@sec.gov or (202) 551-7900. You also have the right to seek assistance from Dave Henshall at (202) 551-7900 as a FOIA Public Liaison for this office, or contact the Office of Government Information Services (OGIS) for dispute resolution services. OGIS can be reached at 1-877-684-6448 or Archives.gov or via e-mail at ogis@nara.gov.

Sincerely,



Frank Mandic
FOIA Research Specialist