

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

FOIA REQUESTS	FY15	FY14	FY13	FY12	FY11
Requests Received in FY	16898	14862	12275	11292	11555
Requests Processed in FY	16207	14757	12167	11302	11562
Requests Pending at end of FY	1298	595	490	382	392
FOIA APPEALS					
Appeals Received in FY	495	452	143	115	169
Appeals Processed in FY	505	432	149	121	138
Appeals Pending at end of FY	17	30	10	16	46
PERSONNEL & COST DATA					
Number of FTE in FOIA Office	30	28	29	27.42	29.25
Total of FOIA Liaison FTE	3	2.55	1.92	9.4	8.25
Total FOIA Staff	33	30.55	30.92	36.82	37.50
Processing Costs	\$4,149,144.62	\$4,731,004.76	\$4,051,596.53	\$5,129,895	\$5,146,627
Litigation - Related Costs	\$288,184.40	\$231,785.00	\$244,370	\$132,600	\$205,500
Total FOIA Costs	\$4,437,329.02	\$4,962,789.76	\$4,295,966.53	\$5,262,495	\$5,352,127
FOIA Fees Collected	\$19,890.07	\$22,670.81	35,954.30	\$27,577	\$78,005
Percentage of Total FOIA Costs	.44%	.48%	.83%	.54%	1.52%
AVERAGE PROCESSING TIME - DAYS					
Simple requests	14.89	12.93	14.51	13.72	11.44
Complex requests	408	601	514	325	401

**ANNUAL FOIA REPORT
BREAKDOWN OF WORKLOAD VOLUME BY REQUESTOR TYPE FOR FY 15**

FOIA REQUESTS BY CATEGORY OF REQUESTOR	FY 15 Requests Rec'd	% of total requests rec'd	
Commercial	10162	60%	
News Media	3244	19%	
Educational	1018	6%	
Government	16	0%	
Other	2458	15%	
Total Requests Received	16898	100%	
Breakdown of Commercial Requestors		% of All requests rec'd	Type of records requested
International Business Research – A Commercial Reporting Agency	1879	11%	Due diligence on broker dealers, investment advisors and firms, background checks for employment and asset and liability checking
Clean T Consultants	87	1%	Confidential exhibits to registration related filings
Check Fund Manager LLC	1726	10%	Due diligence on broker dealers, investment advisors and firms and corporate background checks.
RoyaltyStat, LLC	492	3%	Confidential exhibits to registration related filings
Bioscience Advisors	986	6%	Confidential exhibits to registration related filings
EACM Advisors LLC – A BNY Mellon Asset Management Co.	702	4%	Due diligence on broker dealers, investment advisors and firms, background checks for employment and asset/liability checks.
Other commercial entities	4290	26%	Attorneys representing clients; small scale due diligence.
Total Commercial requests	10176	60%	
Breakdown of Media Requestors	Number of Requests Filed	% of All requests rec'd	
SECProbes.com (John Gavin)	2624	15.5%	Records on pending ENF matters
Other media entities	621	3.5%	Variety of subject matters
Total media requests	3244	19%	

TEN OLDEST PENDING FOIA REQUESTS and APPEALS at END OF FY 15
As noted in Sections VI.C.(5) and VII.E. of the Annual Report

Oldest	FOIA Number	Received Date	Subject	Current Status
1	10-00011-FIFO	9/13/2010	Third Point LLC	In Process
2	13-00003-FIFO	2/14/2013	Getty Images	In Process
3	13-00004-FIFO	3/11/2013	All Records for Option One Mortgage Corporation nka Sand Canyon Corporation and Option One Mortgage Loan Trust 2007-HL1	In Process
4	13-00005-FIFO	3/14/2013	Suntrust Bank Inc	Pending
5	13-00009-FIFO	6/10/2013	Contracts with Booz Allen Hamilton over the past 5 years and final reports generated and delivered by Booz Allen Hamilton	Pending
6	13-00010-FIFO	6/11/2013	Transcripts of testimony in the Matter of Wisconsin School District CDO Investments	Pending
7	13-00011-FIFO	8/8/2013	Records of investigation in the investment fraud/Ponzi complaint that was filed against Michael Rapley and Andrew Garrett in 2010	Pending
8	13-00012-FIFO	8/9/2013	Money market funds	Pending
9	13-08155-FOIA	6/14/2013	Former Inspector General H. David Kotz	Pending
10	14-00001-FIFO	9/30/2013	All documents relating to any SEC investigation of Capozzoli Advisory for Pensions Inc	Pending
Oldest	APPEAL Number	Received Date	Subject	Date request sent to OGC
1	13-00005-APPS	10/23/2012	Voting breakdown for Public Enforcement Actions	10/25/2012
2	15-00228-APPS	4/13/2015	Employee records	4/14/2015
3	15-00296-APPS	5/20/2015	Settlement agreements	5/22/2015
4	15-00348-APPS	7/8/2015	SEC v Heart Tronics Inc et al	7/8/2015
5	15-00409-APPS	8/13/2015	Complaints archive from 1995-2015	8/14/2015
6	15-00411-APPS	8/17/2015	Century Securities Associates Inc	8/17/2015
7	15-00432-APPS	8/31/2015	The Bear Stearns Companies LLC et al	9/2/2015
8	15-00454-APPS	9/8/2015	Delta Airlines	9/8/2015
9	15-00455-APPS	9/9/2015	Responses to Q2 and Q3 of the "attorney's information" section of the whistleblower from TCR	9/9/2015
10	15-00456-APPS	9/10/2015	Suspicious activity reports	9/10/2015