

Exhibit 1

March 26, 2024

VIA SEC FOIA Portal

This is a request for records under the Freedom of Information Act (“FOIA”), 5 U.S.C. § 552 and the Privacy Act, 5 U.S.C. § 552a. This request should be considered under both statutes to maximize the release of records.

REQUESTER INFORMATION

Name: Jason Leopold

Position: Investigative Reporter

Address:

Email: jleopold15@bloomberg.net

I request disclosure from the Securities and Exchange Commission Office of the Inspector General the following records:

1. Final reports of investigation and final audits that have not been publicly disclosed or posted to a FOIA reading room concerning investigations and audits closed in 2023 and 2024 thus far. The records should also include a final copy of the closing memo and referral letter.

Reasonably Foreseeable Harm. The FOIA Improvement Act of 2016 amended the FOIA as follows (5 USC 552(a)(8)):

(A) An agency shall—

(i) withhold information under this section only if—

(I) the agency reasonably foresees that disclosure would harm an interest protected by an exemption described in subsection (b); or

(II) disclosure is prohibited by law; and

(ii) (I) consider whether partial disclosure of information is possible whenever the agency determines that a full disclosure of a requested record is not possible; and

(II) take reasonable steps necessary to segregate and release nonexempt information. . . .

SEC and its components should not fail to meet the requirements of Section 552(a)(8) when processing my request and release responsive records to me in full or at least in part.

INSTRUCTIONS REGARDING SCOPE AND BREADTH OF REQUESTS

Please interpret the scope of this request broadly. The SEC is instructed to interpret the scope of this request in the most liberal manner possible short of an interpretation that would lead to a conclusion that the request does not reasonably describe the records sought.

FORMAT

I request that any releases stemming from this request be provided to me in digital format (soft-copy) on a compact disk or other like media.

FEE CATEGORY AND REQUEST FOR A FEE WAIVER

I am a senior investigative reporter for Bloomberg News and formerly senior investigative reporter for BuzzFeed News and formerly senior investigative reporter and on-air correspondent for VICE News. Additionally, my reporting has been published in The Guardian, The Wall Street Journal, The Financial Times, Salon, CBS Marketwatch, The Los Angeles Times, The Nation, Truthout, Al Jazeera English and Al Jazeera America. I am filing this request on behalf of myself and Bloomberg News,

I request a complete waiver of all search and duplication fees. If my request for a waiver is denied, I request that I be considered a member of the news media for fee purposes.

Under 5 U.S.C. §552(a)(4)(A)(iii), “Documents shall be furnished without any charge ... if disclosure of the information is in the public interest because it is likely to contribute significantly to public understanding of the operations or activities of the government and is not primarily in the commercial interest of the requester.” Disclosure in this case meets the statutory criteria, as the records sought to detail the operations and activities of government. This request is also not primarily in my commercial request, as I am seeking the records as a journalist to analyze and freely release to members of the public.

If I am not granted a complete fee waiver, I request to be considered a member of the news media for fee purposes. I am willing to pay all reasonable duplication expenses incurred in processing this FOIA request.

I will appeal any denial of my request for a waiver administratively and to the courts if necessary.



Search Results



From: U.S. Securities and Exchange Commission <FOI...

Request Acknowledgement by U.S. Securities and Exchange Commission

03/25/24 15:00:54 UTC-07:00



Folders: FOIA

Dear Jason Leopold,

Case Number 24-01884-FOIA has been assigned to the request you submitted. In all future correspondence regarding this request please reference case number 24-01884-FOIA.

Regards,
U.S. Securities and Exchange Commission

Exhibit 2

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From: U.S. Securities and Exchange Commission <FOI...>

Status Update for Request #24-01884-FOIA

03/25/24 14:59:23 UTC-07:00



Folders: FOIA


Dear Jason Leopold,

The status of your FOIA request #24-01884-FOIA has been updated to the following status 'Received'. To log into the PAL Application click on the Application URL below.

<https://efoia-pal.sec.gov/>

Sincerely,
U.S. Securities and Exchange Commission

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From: U.S. Securities and Exchange Commission <FOI...

Status Update for Request #24-01884-FOIA

03/26/24 10:51:04 UTC-07:00



Folders: FOIA

Dear Jason Leopold,

The status of your FOIA request #24-01884-FOIA has been updated to the following status 'Assigned for Processing'. To log into the PAL Application click on the Application URL below.

<https://efoia-pal.sec.gov/>

Sincerely,
U.S. Securities and Exchange Commission

Exhibit 3

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From: U.S. Securities and Exchange Commission <FOI...

Status Update for Request #24-01884-FOIA

03/28/24 05:13:02 UTC-07:00



Folders: FOIA

Dear Jason Leopold,

The status of your FOIA request #24-01884-FOIA has been updated to the following status 'In Process'. To log into the PAL Application click on the Application URL below.

<https://efoia-pal.sec.gov/>

Sincerely,
U.S. Securities and Exchange Commission

Exhibit 4

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From: U.S. Securities and Exchange Commission <FOI...

Your Case Number 24-01884-FOIA changed !

03/28/24 06:29:30 UTC-07:00



Folders: FOIA

Dear Jason Leopold,

Your case Number was changed from 24-01884-FOIA to 24-00006-OIG, by the agency. Please note the new case number to quote in your future correspondence about the request.

Regards,
U.S. Securities and Exchange Commission

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

Exhibit 5

Office of FOIA Services

April 1, 2024

Mr. Jason Leopold
Bloomberg News

Beverly Hills, CA 90210

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. **24-01884-FOIA**

Dear Mr. Leopold:

This letter is in reference to your request, dated and received in this office on March 26, 2024, for the "final reports of investigation and final audits that have not been publicly disclosed or posted to a FOIA reading room concerning investigations and audits closed in 2023 and 2024 thus far. The records should also include a final copy of the closing memo and referral letter."

You requested a fee waiver of all costs associated with your request. We may waive or reduce search, review, and duplication fees if (A) disclosure of the requested information is in the public interest because it is likely to contribute significantly to public understanding of the operations and activities of the government and (B) disclosure is not primarily in the commercial interest of the requester, 5 U.S.C. § 552(a)(4)(iii).

Based on the information you provided, we categorized you as an "media use" requester for fee purposes. As such, search and review services are free of charge to you. Additionally, we typically release records electronically and do not charge copy costs. Accordingly, your request for a fee waiver is moot as fees are unlikely to be accrued.

Mr. Jason Leopold
April 1, 2024
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24-01884-FOIA

We are consulting with other SEC staff regarding your request. As soon as we complete our consultation, we will notify you of our findings.

If you have any questions, please contact Ms. Felecia Taylor of my staff at taylorf@sec.gov or (202) 551-8349. You may also contact me at foiapa@sec.gov or (202) 551-7900. You may also contact the SEC's FOIA Public Service Center at foiapa@sec.gov or (202) 551-7900. For more information about the FOIA Public Service Center and other options available to you please see the attached addendum.

Sincerely,

A handwritten signature in cursive script that reads "Felecia Taylor".

for

Lizzette Katilius
FOIA Branch Chief

Enclosure

ADDENDUM

For further assistance you can contact a SEC FOIA Public Liaison by calling (202) 551-7900 or visiting <https://www.sec.gov/oso/help/foia-contact.html>.

SEC FOIA Public Liaisons are supervisory staff within the Office of FOIA Services. They can assist FOIA requesters with general questions or concerns about the SEC's FOIA process or about the processing of their specific request.

In addition, you may also contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA dispute resolution services it offers. OGIS can be reached at 1-877-684-6448 or via e-mail at ogis@nara.gov. Information concerning services offered by OGIS can be found at their website at [Archives.gov](https://www.archives.gov). Note that contacting the FOIA Public Liaison or OGIS does not stop the 90-day appeal clock and is not a substitute for filing an administrative appeal.

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Exhibit 6
Meagan Shinker <shinker@loevy.com>

Re: PendingLetter - 24-00006-OIG

Jason Leopold (BLOOMBERG/ NEWSROOM/) <jleopold15@bloomberg.net>
Reply-To: Jason Leopold <jleopold15@bloomberg.net>
To: taylorf@sec.gov
Cc: katiliusl@sec.gov

Mon, Apr 29, 2024 at 6:00 PM

Please provide me with an estimated date of completion for this request

Jason Leopold
Senior Investigative Reporter
Bloomberg News

Los Angeles, CA 90067
O: 310-201-3450

JLeopold15@Bloomberg.net
@JasonLeopold
Subscribe to my newsletter, FOIA Files
<https://www.bloomberg.com/account/newsletters/foia-files>

Sent from Bloomberg Professional for Android

From: taylorf@sec.gov At: 04/01/24 04:07:50 UTC-7:00
To: Jason Leopold (BLOOMBERG/ NEWSROOM/)
Subject: PendingLetter - 24-00006-OIG

Please see the attached response.

 **Fee Waiver Response.pdf**
97K