

Via Electronic Portal

November 20, 2018

Securities & Exchange Commission
Office of FOIA Services
100 F Street NE, Mail Stop 2465
Washington DC 20549

Re: FREEDOM OF INFORMATION ACT REQUEST

Dear Sir or Madam:

Pursuant to the provisions of the Freedom of Information Act (“FOIA”) 5 U.S.C. § 552 *et seq.*, as amended, and the Securities & Exchange Commission (“SEC”) FOIA regulations, 17 C.F.R. Subpart D, we request a copy of the following records:

(1) All communications (including email, written communications, telephone logs, calendar entries, or notes from any such communication) on or after October 18, 2017 between Mr. Brett Redfearn (Director, SEC Division of Trading and Markets) and any of the following individuals:

- T.R. Lazo
- Sapna Patel
- Matthew (“Matt”) Lavicka
- Greg Babyak
- Michael (“Mike”) Masone
- Jeff Brown
- Vaishali Javeri
- Jonah Platt

(2) All communications (including email, written communications, telephone logs, calendar entries, or notes from any such communication) on or after October 18, 2017 between Mr. Brett Redfearn (Director, SEC Division of Trading and Markets) and anyone affiliated with the Securities Industry and Financial Markets Association (SIFMA), as evidenced by their email address domain of @sifma.org or their signature block indicating as such.

(3) All documents related to SEC FOIA Request No. 18-02057-FOIA (the “FOIA Request”), which was submitted on or around May 23, 2018, including any communications with the Requester, any records released to the Requester, any correspondence with SIFMA, or any internal correspondence regarding the FOIA Request.

The SEC is required to provide a determination within 20 working days. *See* 5 U.S.C. §552(a)(6)(i). Given the targeted nature of this Request and our understanding that the SEC has been in the process of responding to a substantially similar request for six months, we anticipate a prompt response. We, however, are willing to discuss and agree upon the means and sequence of production to facilitate government compliance with the law.

Responsive documents are requested to be produced in their entirety, including all attachments, enclosures, and exhibits. In the event that it is determined that the document contains material or information that falls within statutory exemptions to mandatory disclosure, it is requested that such material or information be reviewed for possible discretionary disclosure, consistent with the presumption of openness codified in the Freedom of Information

Act Improvement Act of 2016. Pub. L. 114-185. Otherwise, it is expressly requested that, in accordance with the provisions of 5 U.S.C. § 552(b), any and all reasonably segregable portions of such document be produced. To the extent that you determine that any portions of the subject document will not be disclosed, you are requested to identify such documents in accordance with the requirements of *Vaughn v. Rosen*, 523 F.2d 1136 (D.C. Cir. 1975).

If the cost of providing these documents will exceed \$250.00, please contact us for prior approval.

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