

# EXHIBIT 9

**Lisa N. Himes**

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**From:** Lisa N. Himes  
**Sent:** Friday, July 19, 2019 5:02 PM  
**To:** Ovall, Jeffery L.; foiapa  
**Subject:** RE: Acknowledgement Letter FOIA-PA - 19-02629-FOIA

Jeff,

Thank you for the corrected letter.

Thanks,  
Lisa

**From:** Ovall, Jeffery L. <OvallJ@SEC.GOV>  
**Sent:** Friday, July 19, 2019 1:18 PM  
**To:** Lisa N. Himes <LHimes@rjo.com>; foiapa <foiapa@sec.gov>  
**Subject:** RE: Acknowledgement Letter FOIA-PA - 19-02629-FOIA

Good afternoon, Lisa. Attached is a corrected Acknowledgement letter. Regarding the reference to the 30-days, that is standard language that goes into our acknowledgement letters. Our goal is always to complete responses to FOIA requests within 20 business days.

Thanks,

Jeff

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**From:** Lisa N. Himes [<mailto:LHimes@rjo.com>]  
**Sent:** Friday, July 19, 2019 12:58 PM  
**To:** foiapa; Ovall, Jeffery L.  
**Subject:** FW: Acknowledgement Letter FOIA-PA - 19-02629-FOIA

**CAUTION:** This email originated from outside of the organization. Do not click links or open attachments unless you recognize the sender and know the content is safe.

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This acknowledgement letter is not correct. Please see the July 17<sup>th</sup> emails with Jeffrey Oval confirming the FOIA request. This letter does not mention anything about the last request for all emails regarding these individuals and companies (SEE F BELOW).

Also, the letter is very unclear that the emails as to all of the individuals and companies are from January 1, 2013 through the present. That language appears with AMC Holdings Co., LLC in your letter, and the date range should be in the paragraph above.

Finally, your letter mentions 30 business days, but does not cite unusual circumstances. The statute requires a response within 20 business days unless there are unusual circumstances.

I will contact the FOIA Office as well.

Thank you,  
Lisa

EMAILS FROM JULY 17 –

Yes, but the FOIA request was not attached. Thanks.

**From:** foiapa <foiapa@sec.gov>  
**Sent:** Wednesday, July 17, 2019 4:53 PM  
**To:** Lisa N. Himes <LHimes@rjo.com>  
**Cc:** foiapa <foiapa@sec.gov>  
**Subject:** RE: FOIA Request Clarified

Thanks Lisa. Here's a correction to the email. Let me know if this is right.

Good afternoon, Lisa. Here's the email confirmation we discussed on the phone earlier today. In accordance with our phone conversation, your FOIA request (attached) is clarified to be for the following records. Please email me confirmation that my understanding is correct. Thanks

- Emails dated from January 1, 2013 through the present:
  - A. Between Genentech-Roche and the SEC including all of its staff, employees and agents, referencing the below companies/individuals.
    1. Nova Oculus Partners, LLC,
    2. The Eye Machine, LLC,
    3. Peter Pocklington,
    4. Lantson E. Eldred, and
    5. AMC Holdings Co., LLC
  - B. Between Regeneron Pharmaceuticals, Inc. and the SEC including all of its staff, employees and agents, referencing the below companies/individuals.
    1. Nova Oculus Partners, LLC,
    2. The Eye Machine, LLC,
    3. Peter Pocklington,
    4. Lantson E. Eldred, and
    5. AMC Holdings Co., LLC
  - C. Between Novartis US and the SEC including all of its staff, employees and agents, referencing the below companies/individuals.
    1. Nova Oculus Partners, LLC,
    2. The Eye Machine, LLC,
    3. Peter Pocklington,
    4. Lantson E. Eldred, and
    5. AMC Holdings Co., LLC
  - D. Between Alcon and the SEC including all of its staff, employees and agents, referencing the below companies/individuals.

1. Nova Oculus Partners, LLC,
  2. The Eye Machine, LLC,
  3. Peter Pocklington,
  4. Lantson E. Eldred, and
  5. AMC Holdings Co., LLC
- E. Between Bausch & Lomb and the SEC including all of its staff, employees and agents, referencing the below companies/individuals.
1. Nova Oculus Partners, LLC,
  2. The Eye Machine, LLC,
  3. Peter Pocklington,
  4. Lantson E. Eldred, and
  5. AMC Holdings Co., LLC
- F. All emails from January 1, 2013 through the present, referencing the below companies/individuals.
1. Nova Oculus Partners, LLC,
  2. The Eye Machine, LLC,
  3. Peter Pocklington,
  4. Lantson E. Eldred, and
  5. AMC Holdings Co., LLC

**From:** [foiapa@sec.gov](mailto:foiapa@sec.gov) <[foiapa@sec.gov](mailto:foiapa@sec.gov)>

**Sent:** Friday, July 19, 2019 11:17 AM

**To:** Lisa N. Himes <[LHimes@rjo.com](mailto:LHimes@rjo.com)>

**Subject:** Acknowledgement Letter FOIA-PA - 19-02629-FOIA