



August 10, 2020

Austin R Evers
American Oversight
1030 15th Street NW
B-255
Washington, DC 20005

Dear Mr. Evers:

This is in response to your Freedom of Information Act (FOIA) request dated February 13, 2020, received in my office on February 13, 2020.

You requested specific email communications sent from the following OCC officials:

1. Joseph Otting, Comptroller, and anyone communicating on his behalf, such as an executive or special assistant, or scheduler
2. Morris Morgan, Senior Deputy Comptroller
3. Jonathan Gould, Senior Deputy Comptroller
4. Grovetta Gardineer, Senior Deputy Comptroller
5. Grace Dailey, Former Senior Deputy Comptroller
6. Maryann Kennedy, Senior Deputy Comptroller
7. Michael Sullivan, Senior Deputy Comptroller

to any of the external individuals or entities:

1. Prudential Financial, including but not limited to anyone communicating with an email address ending in @prudential.com
2. American International Group, including but not limited to anyone communicating with an email address ending in @aig.com
3. MetLife, including but not limited to anyone communicating with an email address ending in @metlife.com
4. GE Capital, including but not limited to anyone communicating with an email address ending in @gecapital.com
5. Invariant, including but not limited to anyone communicating with an email address ending in @invariantgr.com
6. Cypress Advocacy, including but not limited to anyone communicating with an email address ending in @cypressgroupdc.com
7. Williams Group, including but not limited to anyone communicating with an email address ending in @thewilliamsgroupdc.com
8. Baker & Hostetler, including but not limited to anyone communicating

with an email address ending in @bakerlaw.com

9. Ballard Partners, including but not limited to anyone communicating with an email address ending in @ballardfl.com and @ballardpartners.com

10. Porterfield, Fetting, & Sears, including but not limited to anyone communicating with an email address ending in @pfs-dc.com.

including the following terms:

1. “nonbank”
2. “shadow bank”
3. “systemically important financial institution”
4. SIFI
5. “Financial Stability Oversight Council”
6. FSOC
7. “Dodd-Frank”
8. “activities based”
9. “activities-based”
10. “entity-based”
11. “entity based”

After a thorough sweep of our email accounts for the time period of January 1, 2019 through today’s date, no records were located responsive to your request.

If you consider any of the above to be an improper denial of your request, you may appeal such denial to the Comptroller of the Currency. The appeal should be filed within 90 days of the date of this letter, should state the circumstances and reasons or arguments in support of the appeal, and be submitted via our online FOIA application at <https://foia-pal.occ.gov/> or be mailed to:

Manager, Disclosure Services & Freedom of Information Act Officer
Communications Division
Office of the Comptroller of the Currency
Suite 3E-218
Washington, DC 20219

By filing an appeal, you preserve your rights under FOIA and give the agency a chance to review and reconsider your request and the agency’s decision.

If you would like to discuss our response before filing an appeal to attempt to resolve your dispute without going through the appeals process, you may contact our FOIA Public Liaison,

Frank Vance, for assistance at:
Disclosure Services
Communications Division
Office of the Comptroller of the Currency
400 7th Street, SW, Suite 3E-218
Washington, DC 20219

(202) 649-6758
Frank.Vance@occ.treas.gov

If you are unable to resolve your FOIA dispute through our FOIA Public Liaison, the Office of Government Information Services (OGIS), the Federal FOIA Ombudsman's office, offers mediation services to help resolve disputes between FOIA requesters and Federal agencies. The contact information for OGIS is:

Office of Government Information Services
National Archives and Records Administration
8601 Adelphi Road—OGIS
College Park, MD 20740-6001
(202) 741-5770
(877) 684-6448
ogis@nara.gov
ogis.archives.gov

Sincerely yours,

Frank D. Vance, Jr.

Frank D. Vance, Jr.
Manager, Disclosure Services
& Freedom of Information Act Officer
Communications Division

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