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

Office of FOIA Services

June 11, 2020

Mr. Austin Evers
American Oversight
1030 15th Street NW
Suite B255
Washington, DC 20005

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. **20-01011-FOIA**

Dear Mr. Evers:

This letter is in response to your request, dated and received in this office on February 13, 2020, for "all email communications (including email messages with complete email chains, email attachments, calendar invitations, and calendar invitation attachments) <u>sent</u> by any of the officials specified in column A, below, to any of the external individuals or entities specified in Column B, below, regarding regulation of nonbank financial companies" since January 1, 2019. This letter also refers to our letter dated February 19, 2020, in which we granted your fee waiver request.

Column A: SEC Officials	Column B: External Entities
1. Jay Clayton, Chairman and anyone communicating on his behalf, such as an executive or special assistant or scheduler. 2. Robert Jackson, Commissioner, and anyone communicating on his behalf, such as an executive or special assistant or scheduler. 3. Hester Peirce, Commissioner, and anyone communicating on her behalf, such as an executive or special assistant or scheduler.	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. Elad Roisman, Commissioner, and anyone communicating on his behalf, such as an executive or special assistant or scheduler. 5. Allison Herren Lee, Commissioner, and anyone communicating on her behalf, such as an executive or special assistant or scheduler. 6. William Hinman, Director, Division of Corporate Finance. 7. Dalia Blass, Director, Division of Investment Management. 8. Stephanie Avakian, Co-Director, Division of Enforcement. 9. Steven Peikin, Co-Director, Division of Enforcement. 10. Brett Redfearn, Director, Division of Trading and Markets. 11. S.P. Kothari, Director, Chief Economist, Division of Economic and Risk Analysis. 12. Anyone serving in the role of White House Liaison or White House Advisor, including anyone in an acting capacity.	4. GE Capital, including but not limited to anyone communicating with an email address ending in @gecaptial.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, Fettig, & Sears, including by not limited to anyone communicating with an email address ending in @pfs-dc.com.

Additionally, you provided the following search 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"

Since your request contains multiple subjects, we divided it into separate requests. Each request was assigned a tracking number, as follows:

FOIA Request No.	Subject
20-01001-FOIA	Chairman Jay Clayton
20-01002-FOIA	Commissioner Robert Jackson
20-01003-FOIA	Commissioner Hester Peirce
20-01004-FOIA	Commissioner Elad Roisman
20-01005-FOIA	Commissioner Allison Herren Lee
20-01006-FOIA	William Hinman
20-01007-FOIA	Dalia Blass
20-01008-FOIA	Stephanie Avakian
20-01009-FOIA	Steven Peikin
20-01010-FOIA	Brett Redfearn
20-01011-FOIA	S.P. Kothari
20-01012-FOIA	Anyone serving in the role of White House Liaison or White House Advisor.

This response is limited to request number 20-01011-FOIA, regarding S.P. Kothari, Director, Chief Economist, Division of Economic and Risk Analysis.

Based on the information you provided in your letter, we conducted a thorough search of the SEC's various systems of records, but did not locate or identify any records responsive to your request.

If you still have reason to believe that the SEC maintains the type of records you seek, please provide us with additional information, which could prompt another search. Otherwise, we conclude that no responsive records exist and we consider this request to be closed.

You have the right to appeal the adequacy of our search or finding of no responsive records to the SEC's General Counsel under 5 U.S.C. § 552(a)(6), 17 CFR § 200.80(f)(1). The appeal must be received within ninety (90) calendar days of the date of this adverse decision. Your appeal must be in writing, clearly marked "Freedom of Information Act Appeal," and should identify the requested records. The appeal may include facts and authorities you consider appropriate.

You may file your appeal by completing the online Appeal form located at https://www.sec.gov/forms/request_appeal, or mail your appeal to the Office of FOIA Services of the Securities and Exchange Commission located at Station Place, 100 F Street NE, Mail Stop 2465, Washington, D.C. 20549, or deliver it to Room 1120 at that address.

If you have any questions, please contact me at churchmant@sec.gov or (202) 551-8330. 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,

Tina Churchman

Tina Churchman
FOIA Research Specialist

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. 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.