



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

Office of FOIA Services

September 20, 2023

Ms. Allison Rebadow
Director of Litigation Research
History Associates Incorporated
300 North Stonestreet Avenue
Rockville, MD 20850-1655

RE: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. **23-03003-FOIA**

Dear Ms. Rebadow:

This letter is in response to your request dated July 28, 2023, and received in this office on July 31, 2023, for information concerning "all records reflecting or concerning potential or actual personnel departures from any Commission Directors or Staff since April 17, 2021, related to any extent to Commission policy or management priorities, including, but not limited to, any personnel records, notes of exit interviews, or notes of retention discussions."

The search for responsive records has resulted in the retrieval of a 1-page record that is a list of Commission employee departures since April 17, 2021. The SEC does not maintain reasons for departure that relate in any way to Commission policy or management priorities.

Access is granted to the enclosed 1-page record, except for information which is exempt from disclosure under 5 U.S.C. § 552(b)(6), since its release would constitute a clearly unwarranted invasion of personal privacy.

Further, based on the information you provided in your request, we conducted a thorough search of the SEC's various systems of records, but did not locate or identify any information with regard to exit interviews or retention discussions responsive to your request.

You have the right to appeal this response 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 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.

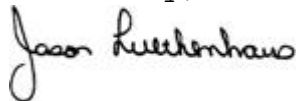
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You may file your appeal by completing the online Appeal form located at https://www.sec.gov/forms/request_appeal, or mail your appeal to the Office of FOIA Services of the Securities and Exchange Commission located at Station Place, 100 F Street NE, 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 luetkenhausj@sec.gov or (202) 551-8352. 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 black ink that reads "Jason Luetkenhaus". The signature is written in a cursive, slightly slanted style.

Jason Luetkenhaus
FOIA Lead 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](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.

Personal Transaction Status	Personal Transaction Status Desc	Date Effective	Name	Employee Common Id	NOA	NOA NARR	Office #	Org	Org Desc	Pay Plan	Occupational Series	Grade	Position Title Opn	Bargaining Unit	Duty Station Desc
C	COMPLETED	05/20/21	(b)(6)	(b)(6)	357	TERMINATION	ES	20000000	OFFICE OF THE EXECUTIVE STAFF	SK	2210	12	IT SPECIALIST	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	05/20/21	(b)(6)	(b)(6)	357	TERMINATION	ES	20000000	OFFICE OF THE EXECUTIVE STAFF	SK	2210	12	IT SPECIALIST	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	01/14/22	(b)(6)	(b)(6)	317	RESIGNATION	ES	20400000	OFFICE OF COMMISSIONER ROISMAN	SK	0001	16	LEG & INTERGOV AFFAIRS SPE	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	01/23/22	(b)(6)	(b)(6)	317	RESIGNATION	ES	20400000	OFFICE OF COMMISSIONER ROISMAN	SK	0005	16	ATTORNEY-ADVISEE	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	01/23/22	(b)(6)	(b)(6)	317	RESIGNATION	ES	20400000	OFFICE OF COMMISSIONER ROISMAN	EX	0005	04	COMMISSIONER	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	01/28/22	(b)(6)	(b)(6)	350	TERMINATION-EXP OF APPT	ES	20100000	OFFICE OF COMMISSIONER CRESHAW	SK	0005	16	ATTORNEY-ADVISEE	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	02/17/22	(b)(6)	(b)(6)	317	RESIGNATION	ES	20400000	OFFICE OF COMMISSIONER ROISMAN	SK	0001	12	CONFIDENTIAL ASSISTANT	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	06/03/22	(b)(6)	(b)(6)	317	RESIGNATION	ES	20200000	OFFICE OF COMMISSIONER LEE	SK	0001	12	CONFIDENTIAL ASSISTANT	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	06/10/22	(b)(6)	(b)(6)	317	RESIGNATION	ES	20200000	OFFICE OF COMMISSIONER LEE	SK	0001	12	EXECUTIVE CORRESPONDENCE COORDINATOR	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	07/14/22	(b)(6)	(b)(6)	350	RETIREMENT-VOLUNTARY	ES	20300000	OFFICE OF COMMISSIONER LEE	EX	0005	04	COMMISSIONER	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	07/30/22	(b)(6)	(b)(6)	350	TERMINATION-EXP OF APPT	ES	20000072	SEC - OFC OF THE EXECUTIVE STAFF	SK	0099	05	STUDENT TRAINEE (LAW)	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	07/30/22	(b)(6)	(b)(6)	350	TERMINATION-EXP OF APPT	ES	20000072	SEC - OFC OF THE EXECUTIVE STAFF	SK	0099	05	STUDENT TRAINEE (LAW)	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	08/03/22	(b)(6)	(b)(6)	317	RESIGNATION	ES	20000000	OFFICE OF THE EXECUTIVE STAFF	SK	0001	13	CONFIDENTIAL ASSISTANT	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	08/03/22	(b)(6)	(b)(6)	350	TERMINATION-EXP OF APPT	ES	20000000	OFFICE OF THE EXECUTIVE STAFF	SK	0001	11	CONFIDENTIAL ASSISTANT	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	11/19/22	(b)(6)	(b)(6)	350	TERMINATION-EXP OF APPT	ES	20000072	SEC - OFC OF THE EXECUTIVE STAFF	SK	0099	07	STUDENT TRAINEE (LAW)	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	11/19/22	(b)(6)	(b)(6)	350	TERMINATION-EXP OF APPT	ES	20000072	SEC - OFC OF THE EXECUTIVE STAFF	SK	0099	07	STUDENT TRAINEE (LAW)	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	11/19/22	(b)(6)	(b)(6)	350	TERMINATION-EXP OF APPT	ES	20000072	SEC - OFC OF THE EXECUTIVE STAFF	SK	0099	09	STUDENT TRAINEE (LAW)	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	11/19/22	(b)(6)	(b)(6)	350	TERMINATION-EXP OF APPT	ES	20000072	SEC - OFC OF THE EXECUTIVE STAFF	SK	0099	09	STUDENT TRAINEE (LAW)	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	12/31/22	(b)(6)	(b)(6)	317	RESIGNATION	ES	20000000	OFFICE OF THE EXECUTIVE STAFF	SD	0005	02	SENIOR OFFICER	8888	NEW YORK NEW YORK NEW YORK
C	COMPLETED	03/09/23	(b)(6)	(b)(6)	350	TERMINATION-EXP OF APPT IN US SENATE	ES	20400000	OFFICE OF COMMISSIONER LYTDA	SK	0001	12	CONFIDENTIAL ASSISTANT	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	04/08/23	(b)(6)	(b)(6)	350	TERMINATION-EXP OF APPT	ES	20000072	SEC - OFC OF THE EXECUTIVE STAFF	SK	0099	09	STUDENT TRAINEE (LAW)	8888	WASHINGTON DISTRICT OF COLUMBIA
C	COMPLETED	04/17/23	(b)(6)	(b)(6)	350	TERMINATION-EXP OF APPT	ES	20000072	SEC - OFC OF THE EXECUTIVE STAFF	SK	0099	09	STUDENT TRAINEE (LAW)	8888	WASHINGTON DISTRICT OF COLUMBIA
A	ACTIVE	08/12/23	(b)(6)	(b)(6)	350	TERMINATION-EXP OF APPT	ES	20000072	SEC - OFC OF THE EXECUTIVE STAFF	SK	0099	09	STUDENT TRAINEE (LAW)	8888	NEW YORK NEW YORK NEW YORK
A	ACTIVE	08/12/23	(b)(6)	(b)(6)	350	TERMINATION-EXP OF APPT	ES	20000072	SEC - OFC OF THE EXECUTIVE STAFF	SK	0099	07	STUDENT TRAINEE (LAW)	8888	WASHINGTON DISTRICT OF COLUMBIA
A	ACTIVE	08/12/23	(b)(6)	(b)(6)	350	TERMINATION-EXP OF APPT	ES	20000072	SEC - OFC OF THE EXECUTIVE STAFF	SK	0099	07	STUDENT TRAINEE (LAW)	8888	WASHINGTON DISTRICT OF COLUMBIA
A	ACTIVE	08/12/23	(b)(6)	(b)(6)	350	TERMINATION-EXP OF APPT	ES	20000072	SEC - OFC OF THE EXECUTIVE STAFF	SK	0099	07	STUDENT TRAINEE (LAW)	8888	GREAT FALLS FAIRFAX VIRGINIA