



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

Office of FOIA Services

September 30, 2024

Ms. Eva Laverty-Wilson  
Jr. Associate Historian  
History Associates Incorporated (HAI)  
7361 Calhoun Place  
Suite 310  
Rockville, MD 20855

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552  
Request No. **23-01514-FOIA**

Dear Ms. Laverty-Wilson:

This letter responds to your request, dated March 30, 2023, and received in this office on March 31, 2023, for the following:

1. All documents and communications, both written and electronic, exchanged between SEC commissioners and/or SEC staff members, including, but not limited to, staff of the Division of Corporation Finance, Division of Economic and Risk Analysis, Division of Enforcement, Division of Examinations, Division of Investment Management, Division of Trading and Markets, and SEC Advisory Committee members and staff of the following federal and state agencies:
  - a) U.S. Department of the Treasury
  - b) Office of the Comptroller of the Currency
  - c) Federal Deposit Insurance Corporation
  - d) United States Federal Reserve System
  - e) National Economic Council
  - f) U.S. Department of Justice Office of The Attorney General
  - g) New York State Department of Financial Services
  - h) California Department of Financial Protection and Innovation
2. That relate to the provision of banking or financial services to digital-asset customers, digital-asset clients, or digital-asset companies; and,
3. That was sent between November 1, 2022, and the date you process this request.

By email dated April 12, 2023, we asked that you clarify your request and provide additional information. In your response of April 19, 2024, you stated, "we are interested in communications exchanged amongst all SEC staff (sec.gov), including any SEC Advisory Committee members," and provided keywords.

By email dated April 27, 2023, we asked that you provide the domains for the agencies you included in your request. On May 2, 2023, you provided this information.

By email dated June 13, 2023, we asked that you provide the name and email addresses of the SEC Advisory Committee members you are referring to in your request. On June 14, 2024, you provided names and some email addresses of SEC staff and SEC Advisory Committee members. In response we explained if the Advisory Committee members are not currently employed by the SEC, we may not be able to search for emails to/from the individuals you provided.

The search for responsive records has resulted in the retrieval of 19 pages of records that may be responsive to your request. However, other agencies and/or parties have a vested interest in a portion of these pages and therefore certain pages of records are being referred to those agencies for review and direct response to you.

Upon completing our review of pages, we have determined to release three (3) pages of records that may be responsive to your request. They are being provided to you with this letter. Portions of these pages are exempt from release under 5 U.S.C. § 552(b)(6). Exemption 6, protects information the release of which constitute a clearly unwarranted invasion of personal privacy.

I am the deciding official with regard to this adverse determination. You have the right to appeal my decision 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](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.

Following is a breakdown of the referred records mentioned above and agency contact information:

- Department of Treasury (7 pages referred) FOIA Request  
Department of the Treasury  
1500 Pennsylvania Ave., NW  
Washington, DC 20220

Phone: (202) 622-0930

- Board of Governors of the Federal Reserve System (8 pages/same pages sent to Dept. of Treasury)  
Freedom of Information Office  
2001 C Street, NW,  
Washington, DC 20551

Phone: 202-452-3684

- Federal Department Insurance Company (FDIC) (1 page referred)  
Legal Division, FOIA/PA Group  
550 17 Street, NW  
Washington DC 20429

Phone: 202-898-7021

If you have any questions, please contact Indria Burrows at [burrowsi@sec.gov](mailto:burrowsi@sec.gov) or (202) 551-5105. You may also contact me at [foiapa@sec.gov](mailto:foiapa@sec.gov) or (202) 551-7900. You may also contact the SEC's FOIA Public Service Center at [foiapa@sec.gov](mailto:foiapa@sec.gov) or (202) 551-7900. For more information about the FOIA Public

Ms. Eva Laverty-Wilson  
September 30, 2024  
Page 4

23-01514-FOIA

Service Center and other options available to you please see the attached addendum.

Sincerely,

*Matthew Hurd*

Matthew Hurd  
Attorney Advisor

Enclosures

## 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](mailto: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.

**From:** Crawford, Christopher /O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=F2E56B78119F483FAF9860F1D8CA3E26-CRAWFORD, C <Christopher.Crawford@occ.treas.gov>

**To:** Feldstein, Stuart /o=ExchangeLabs/ou=Exchange Administrative Group (FYDIBOHF23SPDLT)/cn=Recipients/cn=5dc41a31c467459e95fc145b079f3cd1-Feldstein, <Stuart.Feldstein@occ.treas.gov>

Kirby, Beth /o=ExchangeLabs/ou=Exchange Administrative Group (FYDIBOHF23SPDLT)/cn=Recipients/cn=a1a6f7f72ce84f6586a34b7200cbdfef-Kirby, Beth <Beth.Kirby@occ.treas.gov>;  
**CC:** Tynan, Matthew /o=ExchangeLabs/ou=Exchange Administrative Group (FYDIBOHF23SPDLT)/cn=Recipients/cn=1346509f19ed4ae797e4cbcd711ea4cf-Tynan, Matt <Matthew.Tynan@occ.treas.gov>;  
 Kozminsky, Eli A /o=ExchangeLabs/ou=Exchange Administrative Group (FYDIBOHF23SPDLT)/cn=Recipients/cn=744415139a8b4386854310c1cfa8a838-Kozminsky, <Eli.Kozminsky@occ.treas.gov>

**Subject:** Draft SEC Qualified Custody Regulation

**Date:** 2022/12/18 15:04:06

**Priority:** Normal

**Type:** Note

Stuart,

SEC staff have provided to the OCC a draft of proposed amendments to the SEC's investment advisor qualified custodian regulation. (b)(5)

(b)(5)

(b)(5)

An initial BA staff draft analysis of these provisions is attached. I have also attached the draft reg text and preamble.

Asset Management has scheduled a call with the SEC for Wednesday, December 21. We understand that Asset Management intends to provide oral comments to the SEC at that time. We are currently scheduled to have an internal call with Asset Management at 10 am on Monday.

Based on discussion with Ted regarding a different call with the SEC, Beth wanted to make sure you and Ted are in the loop and comfortable before we provide any feedback to the SEC. Happy to set up a time to discuss.

Thanks,  
Chris

Christopher Crawford  
Counsel, Bank Advisory  
Chief Counsel's Office  
Mobile: (b)(6)

**Sender:** Crawford, Christopher /O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=F2E56B78119F483FAF9860F1D8CA3E26-CRAWFORD, C <Christopher.Crawford@occ.treas.gov>

**Recipient:** Feldstein, Stuart /o=ExchangeLabs/ou=Exchange Administrative Group (FYDIBOHF23SPDLT)/cn=Recipients/cn=5dc41a31c467459e95fc145b079f3cd1-Feldstein,

**From:** Monahan, Colleen@DFPI  
**Sent:** Mon, 3 Jul 2023 19:02:23 +0000  
**To:** Uyeda, Mark T  
**Subject:** FW: Invitation to Speak at NASAA Fall Meeting (September 10, 2023)  
**Attachments:** 2023 Fall Meeting Invitation - Commissioner Uyeda.docx

**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.

Hi Mark,  
I hope you are well. Just a quick note to make sure the below invitation is on you and your team's radar, in case you are able to attend.

Happy 4<sup>th</sup> of July!

Best,  
Colleen

---

**From:** Monahan, Colleen@DFPI  
**Sent:** Thursday, June 29, 2023 8:13 AM  
**To:** (b)(6)@sec.gov  
**Subject:** Invitation to Speak at NASAA Fall Meeting (September 10, 2023)

Dear Commissioner Uyeda:

On behalf of the California Department of Financial Protection and Innovation and NASAA (North American Securities Administrators Association), I'm honored to extend an invitation to you to speak during the opening ceremony of the NASAA 2023 Fall Meeting in San Diego, California on Sunday, September 10, 2023. The conference will be held September 10 through 12 at the InterContinental San Diego in San Diego, California. This year's theme is "Modernizing Investor Protection for the Digital Age."

I have attached the formal invitation from NASAA, and more information on the event is available [here](#).

NASAA provides travel reimbursement for conference speakers. Here are some details regarding NASAA's reimbursement policy for conference speakers:

- Coach class airfare (lowest available non-refundable fare with a 30-day advance purchase recommended).
- Hotel room, including taxes (amount dependent on negotiated rates for event).
- Maximum daily qualifying personal expenses (amount dependent on event type). Qualifying personal expenses are all reasonable and customary expenditures for personal expense items



associated with business travel or entertainment, including meals and beverages, use of hotel health facilities or laundry services and snacks or other sundries.

- Ground transportation while in host city (amount dependent on event type).

Thank you for your time and consideration. I look forward to hearing from you.

**Colleen Monahan**

*Deputy Commissioner, Legal Division*

**California Department of Financial Protection & Innovation**

(b)(6) [@dfpi.ca.gov](mailto:(b)(6)@dfpi.ca.gov)

(b)(6) | [www.dfpi.ca.gov](http://www.dfpi.ca.gov)



CONFIDENTIALITY NOTICE: This e-mail message, including any attachments, is for the sole use of the intended recipient(s) and may contain confidential and privileged information. Any unauthorized review, use, disclosure, or distribution is prohibited. If you are not the intended recipient, please contact the sender by reply e-mail and destroy all copies of the original message.





## NORTH AMERICAN SECURITIES ADMINISTRATORS ASSOCIATION

750 First Street NE, Suite 990  
Washington, DC 20002  
Phone: 202-737-0900  
Fax: 202-783-3571  
[www.nasaa.org](http://www.nasaa.org)

June 26, 2023

The Honorable Mark T. Uyeda, Commissioner  
Securities and Exchange Commission  
100 F Street, NE  
Washington, DC 20549

Dear Commissioner Uyeda:

On behalf of the North American Securities Administrators Association (NASAA),<sup>1</sup> we are pleased to invite you to participate as a featured speaker during the opening ceremony of NASAA's 2023 Fall Meeting, which will be held on Sunday, September 10, 2023, at the InterContinental San Diego in San Diego, California. Your audience would include state and federal securities regulators, employees of the securities industry, investor advocates, academic and legal scholars, and members of the national media.

NASAA's Fall Meeting serves as an annual forum for regulators, policy makers and other attendees to consider timely questions related to investor protection, market confidence, retirement security, and the direction of state and federal securities regulation. The theme of this year's conference is "Modernizing Investor Protection for the Digital Age." At a time of economic volatility, with bank failures, an unstable digital asset market, and rampant market fraud and manipulation, we consider this a timely discussion. In these historic times for securities regulation in the digital age, we welcome the opportunity to hear your valuable insights into these topics.

We would be honored to have you address our meeting as a featured speaker during the opening ceremony; it would be one of the highlights of the event. James Apistolas, NASAA's Director of Education, Events, and Membership will contact your office to confirm your availability and to provide any additional information you may need.

Sincerely,

Andrew Hartnett  
NASAA President  
Iowa Insurance Division

Joseph Brady  
NASAA Executive Director

---

<sup>1</sup> NASAA is the voice of state securities agencies responsible for grass-roots investor protection and efficient capital formation. Our membership consists of the securities administrators in the 50 states, the District of Columbia, Canada, Mexico, Puerto Rico, the U.S. Virgin Islands, and Guam. Our primary goal is to advocate and act for the protection of investors, especially those who lack the expertise, experience, and resources to protect their own interests.