

Executive Order 13392, Improving Agency Disclosure of Information

FOIA Reading Room Certification – October 31, 2008

a. Internal Review of Agency Compliance with FOIA Reading Room Requirements

The electronic FOIA Reading Room on the web site of the U.S. Securities and Exchange Commission (www.sec.gov), as well as the Conventional Reading Room, have been reviewed for compliance with the Freedom of Information Act (FOIA) reading room requirements (5 U.S.C. 552(a)(2)). The four distinct categories of records are publicly available on the commission web site or are located or linked in the electronic FOIA Reading Room (www.sec.gov/foia/efoiapg.htm). The Conventional Reading Room, a walk-in general public reference site, provides desktop computers for complete public access to Commission records publicly posted and cited herein.

Required reading room records are continuously posted and maintained in accordance with the Commission's Website Content and Posting Priorities, www.sec.gov/about/inventory.shtml. Commission records are posted and organized in a manner which meets the needs of the investing public and the securities industry and provides the information in a timely and efficient manner. The four categories of records required to be made publicly available in accordance with the FOIA are described below with links to the location on the Commission website:

- 1) Final opinions, including concurring and dissenting opinions, as well as orders, made in the adjudication of cases. (www.sec.gov/litigation.shtml)
- 2) Statements of policy and interpretation. (www.sec.gov/rules.shtml)
- 3) Administrative staff manuals and instructions to staff that affect a member of the public. This category of information is organized by the Commission entity responsible for the industry function, providing quick reference and access by the public to specific and pertinent information. Division and program office information is indexed on the SEC home page, with specific examples as follows:

www.sec.gov/investor.shtml

www.sec.gov/divisions/corpfin.shtml

www.sec.gov/divisions/enforce.shtml

www.sec.gov/divisions/investment.shtml

4) Frequently requested FOIA documents. (www.sec.gov/foia/foiadocs.htm)

b. Reading Room Deficiencies Addressed

The internal review did not reveal any deficiencies in public accessibility to reading room information as required by the FOIA.

c. Certification

I certify that the U.S. Securities and Exchange Commission is in compliance with the reading room requirements of the FOIA.

Signed: _____



Kristin J. Kaepplein
Chief FOIA Officer

Date: _____

10.31.08