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

Office of FOIA Services

July 15, 2025

Mr. Aaron Greenspan
PlainSite
956 Carolina Street
San Francisco, CA 94107

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. **22-01517-FOIA**

Dear Mr. Greenspan:

This letter is in response to your request, dated March 28, 2022, and received in this office on March 29, 2022, for all e-mails sent by SEC San Francisco Regional Director Erin Schneider (schneidere@sec.gov) from January 1, 2022 to present.

By letter dated January 12, 2022, we sent you a Complex track letter informing you that we identified approximately 2,256 email records that may be responsive to your request and our preliminary estimate to review the approximately 2,256 email records for release is approximately 45 hours. We advised you to consider narrowing the scope of your request to avoid being placed in our Complex track.

By email dated January 12, 2023, you responded to our Complex track letter advising us to process as much of this request as possible on the simple track.

The search for responsive records has resulted in the retrieval of 1,038 pages of records that may be responsive to your request.

Seven hundred and sixty-seven (765) pages of records are being provided to you with the exception of certain information which is exempt from release pursuant to 5 U.S.C. § 552(b)(5), (b)(6), (b)(7)(A), (b)(7)(C), (b)(7)(E), and (b)(8) for the following reasons:

- FOIA Exemption 5 protects internal records which were prepared in anticipation of litigation, form an integral part of the pre-decisional process, and/or contain advice given to the SEC or senior staff by the SEC’s attorneys;

- FOIA Exemption 6 protects information the release of which would constitute a clearly unwarranted invasion of personal privacy; and

- FOIA Exemption 7(A) protects from disclosure records compiled for law enforcement purposes, the release of which could reasonably be expected to interfere with enforcement activities;[1]

- FOIA Exemption 7(C) protects information the release of which could reasonably be expected to constitute an unwarranted invasion of personal privacy; and

- FOIA Exemption 7(E) protects certain information that would disclose techniques and procedures for law enforcement investigations or prosecutions or would disclose guidelines for law enforcement investigations or prosecutions if such disclosure would reasonably be expected to risk circumvention of the law; and

- FOIA Exemption 8 protects from disclosure records contained in or related to examination, operating, or condition reports prepared by, on behalf of, or for the use of an agency responsible for the regulation or supervision of financial institutions.

The remaining two-hundred and seventy-three (273) pages of records are being withheld in full pursuant to FOIA Exemptions (b)(5), (b)(6), (b)(7)(C), and (b)(7)(E).

Please be advised that the foreseeable harm standard was considered in preparing this response.

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[1] Since Exemption 7(A) protects the records from disclosure, we have not determined if other exemptions apply. Therefore, we reserve the right to assert other exemptions when Exemption 7(A) no longer applies. It is the general policy of the Commission to conduct its investigations on a nonpublic basis. Thus, subject to the provisions of FOIA, the Commission does not disclose the existence or non-existence of an investigation or information gathered unless made a matter of public record in proceedings brought before the Commission or in the courts. Accordingly, the assertion of this exemption should not be construed as an indication by the Commission or its staff that any violations of law have occurred with respect to any person, entity, or security.

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 have the right to appeal the adequacy of our search or finding of no responsive information 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 Kim Outlaw at outlawk@sec.gov or (202) 551-3952. 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,

Camille

Carmen L. Mallon
FOIA Branch Chief

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.

From: Schneider, Erin
To: (b)(6)
Subject: RE: Diversity Committee Updates
Date: Tuesday, February 22, 2022 2:11:17 PM

Perfect! Thank you sooooo much!

From: (b)(6) @sec.gov>
Sent: Tuesday, February 22, 2022 11:07 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: (b)(6) @sec.gov>
Subject: Diversity Committee Updates

Hi Erin,

Does this look ok to you?

Diversity Committee updates:

It's been awhile since our last update…

(b)(5)

(b)(6)

For our new employees, anyone is welcome to join our SFRO Diversity Committee – please contact (b)(6) if you are interested.

(b)(6)
U.S. Securities and Exchange Commission
San Francisco Regional Office
Senior Staff Accountant
(b)(6)

From: Schneider, Erin
To: Best, Richard R; Gregus, Daniel
Subject: RE: Do we want to have a quick call?
Date: Monday, March 21, 2022 5:29:57 PM

I have Gurbir in 1 min. Can we do in 15 mins?

From: Best, Richard R <(b)(6) @SEC.GOV>
Sent: Monday, March 21, 2022 2:29 PM
To: Gregus, Daniel (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>
Subject: Do we want to have a quick call?

From: Schneider, Erin
To: Haddad, Edward G.
Subject: RE: Do you remember what ours were? 0 offsets?
Date: Monday, March 14, 2022 3:34:48 PM

Yes I agree – I think it was as well

From: Haddad, Edward G. (b)(6) @sec.gov>
Sent: Monday, March 14, 2022 12:34 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Do you remember what ours were? 0 offsets?

No I don't. I think it was Thu's exam.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, March 14, 2022 12:33 PM
To: Haddad, Edward G. (b)(6) @sec.gov>
Subject: Do you remember what ours were? 0 offsets?

From: Schneider, Erin
To: (b)(6); (b)(7)(C)
Cc: (b)(6); (b)(7)(C)
Subject: RE: (b)(5); (b)(7)(A)
Date: Monday, March 21, 2022 3:19:10 PM

I'm adding our RTC to this as I don't have independent recollections of this.

From: (b)(6); (b)(7)(C) @SEC.GOV>
Sent: Monday, March 21, 2022 11:41 AM
To: (b)(6); (b)(7)(C) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
Cc: (b)(6); (b)(7)(C) @SEC.GOV> (b)(6); (b)(7)(C)
(b)(6); (b)(7)(C) @SEC.GOV>; (b)(6); (b)(7)(C) @SEC.GOV>
Subject: (b)(5); (b)(7)(A)

(b)(6) and Erin-

(b)(5)

Regards, (b)(6); (b)(7)(C)

From: Schneider, Erin
To: Vasquez, Carlos
Subject: Re: Good Afternoon SFRO! And Goodbye
Date: Friday, March 25, 2022 9:39:23 PM

Agree . You know what a big fan I am. Keep up the awesome work!

Sent from my iPhone

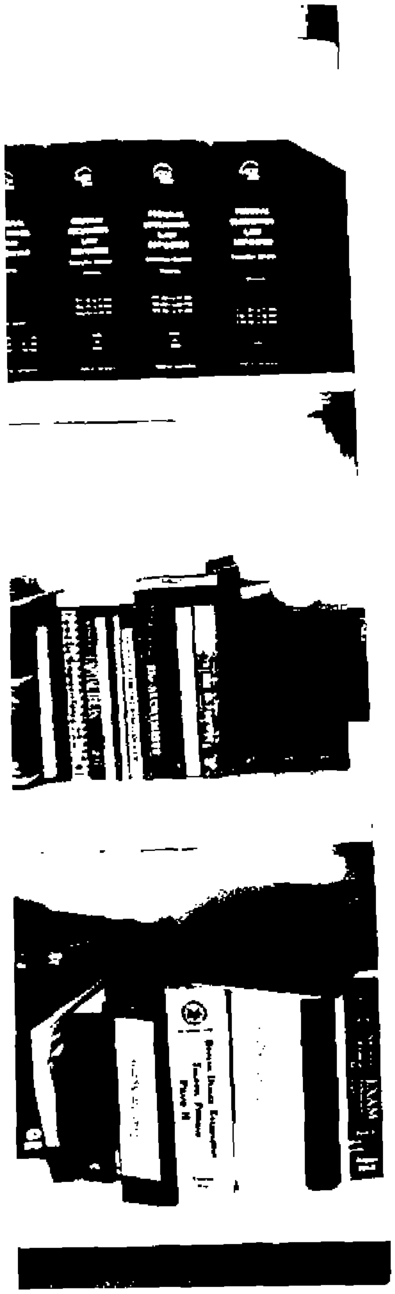
> On Mar 25, 2022, at 1:06 PM, Vasquez, Carlos (b)(6) @sec.gov> wrote:
>
> Au revoir and cheers! I am sure we will meet again, so no goodbye from me.
>
> Sent from my iPhone
>
>> On Mar 25, 2022, at 12:45 PM, Schneider, Erin <SchneiderE@sec.gov> wrote:
>>
>> Good afternoon and goodbye SFRO!
>>
>> BaySEC
>>
>> It was another busy week. I'm sorry I missed last week's email but I hope that MANY OF YOU were able to attend the 7th annual BaySEC. I thought it was another very well-done event and it was so wonderful to connect with all of our regulatory and law enforcement partners. Thank you to everyone who attended and especially to all the folks who helped make the event a success including (b)(6) (b)(6) (b)(6) and (b)(6) And finally, a huge thank you to (b)(6) who, along with (b)(6), has always been the driving force behind this event. While cleaning out my office I found the 2015 proposal that (b)(6) and (b)(6) put together for BaySEC – we've come a long, long, way since then. THANK YOU (b)(6)!
>>
>> (b)(5); (b)(6)

(b)(6)

(b)(6)

(b)(6)

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov



From: Schneider, Erin
To: Winkler, Monique; Ro, Elena
Subject: 12:45!
Date: Thursday, March 10, 2022 11:51:20 AM

Will see you at 12:45 – not coming into office (will explain why when I see you).

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United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Grewal, Gurbir
Subject: 415
Date: Wednesday, February 9, 2022 2:36:59 PM

Have I mentioned how much I love you calling out the 415 non-muter? Ha Ha.

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schneidere@sec.gov

From: Schneider, Erin
To: (b)(6)
Subject: Any luck?
Date: Wednesday, March 23, 2022 3:06:06 PM

I am having a horrible time getting into Webex and my email is incredibly slow (that's why on my computer I load without psts). I am missing a meeting right now bc I can't get into webex

Sent from my iPhone

From: Schneider, Erin
To: (b)(6)
Subject: Brief Follow-Up
Date: Friday, January 14, 2022 10:20:51 AM

Thanks (b)(6) – would love to connect with you offline to further discuss my questions whenever you have a moment. Totally get that you're swamped so doesn't have to be today. Appreciate the explanation you gave on the call.

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schneidere@sec.gov

From: Schneider, Erin
To: Bruno, Candice
Subject: Candice, it won''t let me join as a panelist
Date: Wednesday, March 2, 2022 1:59:05 PM

From: Schneider, Erin
To: Winkler, Monique; (b)(6)
(b)(6)
Subject: Chat SEC and ED Cal

-- Do not delete or change any of the following text. --

When it's time, join your Webex meeting here.

Join meeting (b)(6)

More ways to join:

Join from the meeting link

(b)(6)

Join by meeting number

Meeting number (access code): (b)(6)

Meeting password: (b)(6) from phones and video systems)

Tap to join from a mobile device (attendees only)
(b)(6) USA Toll 2
US Toll
Some mobile devices may ask attendees to enter a numeric meeting password.

Join by phone
(b)(6) USA Toll 2
US Toll
Global call-in numbers (b)(6)

Join from a video system or application
Dial (b)(6)

Join using Microsoft Lync or Microsoft Skype for Business

Dial (b)(6)

If you are a host, click here (b)(6) to view host information.

Need help? Go to https://help.webex.com <https://help.webex.com>

From: Schneider, Erin
To: Haddad, Edward G.; Ta, Thu Bao; Wilson, Stephanie; Schulman, Alice; Tomars, Michael
Subject: Chat re KS posting and farewell

(b)(6)

See you then!

-- Do not delete or change any of the following text. --

When it's time, join your Webex meeting here.

Join meeting (b)(6)

More ways to join:

Join from the meeting link

(b)(6)

Join by meeting number

Meeting number (access code):(b)(6)

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Join using Microsoft Lync or Microsoft Skype for Business

Dial (b)(6)

If you are a host, click here (b)(6) to view host information.

Need help? Go to https://help.webex.com <https://help.webex.com>

From: Schneider, Erin
To: Radkar, Shanti
Subject: Chat

This time looked free on your calendar – please feel free to suggest another time if this doesn't work!

-- Do not delete or change any of the following text. --

When it's time, join your Webex meeting here.

Join meeting (b)(6)

More ways to join:

Join from the meeting link

(b)(6)

Join by meeting number

Meeting number (access code): (b)(6)

Meeting password: (b)(6) (from phones and video systems)

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(b)(6) USA Toll 2
US Toll
Global call-in numbers (b)(6)

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Dial (b)(6)

Join using Microsoft Lync or Microsoft Skype for Business

Dial (b)(6)

If you are a host, click here (b)(6) to view host information.

Need help? Go to https://help.webex.com <https://help.webex.com>

From: Schneider, Erin
To: Tomars, Michael
Subject: Cindy Cooper
Date: Wednesday, February 16, 2022 3:10:52 PM

FYI that I asked Cindy Cooper to speak on the Consumer and Retail Protection panel at BaySEC (it's the morning of March 15).

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From: Schneider, Erin
To: Grewal, Gurbir; Kahl, Daniel
Subject: Commissioner Peirce visit
Date: Tuesday, February 15, 2022 2:14:53 PM

The visit with Commissioner Peirce went well – I think folks were very excited to have a visitor (even though most of our staff were virtual). We did an hour Town Hall – I obviously asked a lot of questions but then we also did have quite a few questions from the audience. There were two ENF attorneys and two examiners who attended live and had the opportunity to chat with her afterwards. One of the folks mentioned that it was a good reminder of why this is a good place to work.

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From: Schneider, Erin
To: Haddad, Edward G.
Subject: Communication plans for tomorrow
Date: Tuesday, February 22, 2022 3:28:09 PM

FYI that tomorrow morning I'm going to ask the ENF ADs to join the 10:30 meeting with the EXAM ADs and I'm going to tell the supervisors my plan + that you will be the Acting EXAMs Associate. I'm then going to tell the rest of the office at 11:00. Dreading it. Again, appreciate it so much.

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schneidere@sec.gov

From: Schneider, Erin
To: (b)(6) (b)(6)@gmail.com
Cc: Ro, Elena
Subject: Dial-In for (b)(6) farewell
Date: Tuesday, February 22, 2022 11:23:50 AM

Hi (b)(6) – here is the dial-in information for (b)(6) farewell today at 2:00 PT! Please don't dial in before 2:00. We'll make sure you're before we start. I know (b)(6) mentioned (b)(6) would say something brief. (b)(6) - do you want to as well?

When it's time, join your Webex meeting here.

Join meeting

More ways to join:

Join from the meeting link
(b)(6)

Join by meeting number
Meeting number (access code): (b)(6)
Meeting password: (b)(6) from phones and video systems)

Tap to join from a mobile device (attendees only)
(b)(6) USA Toll 2
US Toll
Some mobile devices may ask attendees to enter a numeric meeting password.

Join by phone
(b)(6) USA Toll 2
US Toll
Global call-in numbers

Join from a video system or application
Dial (b)(6)

Join using Microsoft Lync or Microsoft Skype for Business

Dial (b)(6)

If you are a host, click here to view host information.

Need help? Go to https://help.webex.com

From: Schneider, Erin
To: Ro, Elena
Subject: Do I owe you money from (b)(6) plaque?
Date: Friday, February 4, 2022 12:41:24 PM

Or did that come out of some sort of SFRO budget?

From: Schneider, Erin
To: (b)(6)
Subject: FW: ABA Panel Invitation - March 2-4 in San Francisco
Date: Tuesday, March 1, 2022 3:04:20 PM

This is all I have – hope that works!

From: (b)(6)
Sent: Monday, November 29, 2021 11:49 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: ABA Panel Invitation - March 2-4 in San Francisco

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.

Erin,

I hope you are well. I have been invited by Milbank Partner and SDNY Alum Antonia Apps to speak on the Securities Enforcement Panel for the ABA White Collar Conference taking place March 2-4 in San Francisco. I spoke on a similar panel with Antonia in Miami earlier this year and it was a good one. Antonia was looking for a good suggestion for an SEC member of the panel and I thought I would see if you might be available? Would be great to have your perspective, and to connect.

Please let me know.

Thanks,

(b)(6)

(b)(6)

(b)(6)

From: Schneider, Erin
To: Gimbrere, Peter F
Subject: FW: Attorney Honors Program
Date: Tuesday, January 11, 2022 8:20:07 PM

This is just for context – I've been getting many emails like this.

From: Davis, Tracy L. <(b)(6) @sec.gov>
Sent: Tuesday, January 11, 2022 5:08 PM
To: Ro, Elena (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
Subject: Attorney Honors Program

(b)(5)

Tracy L. Davis|Assistant Regional Director, Division of Enforcement|
U.S. Securities and Exchange Commission|
44 Montgomery Street, Suite 2800 San Francisco, CA 94104|
Ph (b)(6) |email (b)(6) @SEC.GOV

From: Schneider, Erin
To: Winkler, Monique
Date: Wednesday, February 2, 2022 3:06:06 PM

Missing Cal call because of EXAMS Exec call. Let me know if anything noteworthy happens.

From: Schneider, Erin
To: Winkler, Monique
Date: Wednesday, February 2, 2022 4:42:12 PM

Do you have 15 mins or so today? Can also be tomorrow.

Sent from my iPhone

From: Schneider, Erin
To: Winkler, Monique
Date: Thursday, January 27, 2022 11:13:04 AM

Just a reminder that I will miss the CCM as well as the SO meeting, let me know what happens and good luck!

(b)(5)

Sent from my iPhone

From: Schneider, Erin
To: Schneider, Erin
Date: Friday, February 4, 2022 11:06:06 AM

(b)(5)

Sent from my iPhone

From: Schneider, Erin
To: Kahl, Daniel
Date: Friday, February 4, 2022 5:10:16 PM

We forgot to chat about the other email we got today. Let me know if you want to chat briefly now or Monday.

Sent from my iPhone

From: Schneider, Erin
To: Ro, Elena; Winkler, Monique
Date: Friday, February 18, 2022 12:44:10 PM

A little part of me thinks . . . . if you want to know what the office looks like . . . . then . . . . .

From: Schneider, Erin
To: Winkler, Monique
Date: Friday, February 18, 2022 1:24:11 PM

Will you send me the list you sent in of lawyers behaving badly?

From: Schneider, Erin
To: Ro, Elena
Date: Thursday, February 10, 2022 10:56:02 AM

I'm heading in this morning

Sent from my iPhone

From: Schneider, Erin
To: Murray, Cheryl
Date: Thursday, February 10, 2022 12:28:24 PM

Sorry I was running down the hall! Was so afraid I was going to miss my 930. Will stop by later!

From: Schneider, Erin
To: Winkler, Monique
Date: Thursday, January 6, 2022 4:19:07 PM

(b)(5)

From: Schneider, Erin
To: Buchholz, Steven
Date: Friday, February 18, 2022 6:42:52 PM

Thanks Steve

Sent from my iPhone

From: Schneider, Erin
To: Ro, Elena; Winkler, Monique
Date: Thursday, February 10, 2022 9:45:48 PM

I'm heading to (b)(6) [redacted] But feel free to call.

Sent from my iPhone

From: Schneider, Erin
To: Kahl, Daniel
Date: Friday, February 11, 2022 3:04:12 PM

(b)(6)

From: Schneider, Erin
To: Kahl, Daniel
Date: Friday, February 11, 2022 4:53:50 PM

Thanks for reaching out to Gurbir – had no idea he had given a heads up to Prashant.

From: Schneider, Erin
To: Winkler, Monique; Ro, Elena
Date: Tuesday, March 1, 2022 11:26:35 AM

I'm on my way in

Sent from my iPhone

From: Schneider, Erin
To: Grewal, Gurbir
Date: Tuesday, March 1, 2022 6:43:00 PM

Missed you today but hopefully will see you tomorrow. Maybe we can walk over to the conference together.

Erin

Sent from my iPhone

From:
To:
Date:

(b)(6)

Sent from my iPhone

From: Schneider, Erin
To: Pendrey, Jeremy
Date: Wednesday, February 16, 2022 12:29:37 PM

I love your patience.

From: Schneider, Erin
To: Timmons, Nichola L.
Date: Thursday, February 17, 2022 10:21:01 AM

(b)(5)

From: Schneider, Erin
To: Winkler, Monique
Date: Thursday, February 17, 2022 9:51:29 AM

Wow I felt like I had missed that last night. Didn't love reading about that in the news when I got up.

Erin E. Schneider
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From: Schneider, Erin
To: Grewal, Gurbir
Date: Thursday, February 24, 2022 4:16:24 PM

Hi – tried you on your work number. I know (b)(6) mentioned I wanted to chat. Can you call me whenever convenient for you? (b)(6).

Erin E. Schneider
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From: Schneider, Erin
To: Grewal, Gurbir
Date: Thursday, February 24, 2022 4:33:32 PM

(b)(6)

Erin E. Schneider
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44 Montgomery Street, Suite 2800
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415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Date: Thursday, February 24, 2022 5:55:23 PM

We do have to chat about Acting Director. Some time tomorrow?

From: Schneider, Erin
To: Buchholz, Steven
Date: Thursday, February 24, 2022 5:55:37 PM

Call ok?

From: Schneider, Erin
To: Buchholz, Steven; Winkler, Monique
Date: Friday, February 25, 2022 6:01:37 PM

It's likely that (b)(6) will be at Securities ENF West. (b)(6) approached me at that event a few years back when it was in San Francisco. I just want you to be aware.

From: Schneider, Erin
To: Johnson, Marc
Date: Tuesday, February 22, 2022 6:14:27 PM

Tried you by phone – if you have a moment will you call? (b)(6)

From: Schneider, Erin
To: Jensen, Alice L.
Date: Tuesday, February 22, 2022 7:36:53 PM

I thought the event today was great!!! Thanks so much for putting it together.

Erin E. Schneider
Regional Director
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schneidere@sec.gov

From: Schneider, Erin
To: Leung, Leon
Date: Wednesday, February 23, 2022 1:53:13 PM

Leon – you should feel free to go to the (b)(6) (really). I'm going to update folks my email after the 11:00. Really – I don't want you to miss the training.

Erin E. Schneider
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From: Schneider, Erin
To: Winkler, Monique
Date: Wednesday, February 23, 2022 12:47:58 PM

Will you update Steve

Sent from my iPhone

From: Schneider, Erin
To: Layne, Michele W.; Gottschall, Kurt L.; Peavler, David L.
Date: Wednesday, February 23, 2022 2:24:18 PM

Hi – Michele already knows this and I've spoken a bit with Kurt and David as well. Wanted you to know that I just told SFRO that I am leaving the Commission at the end of March. Will obviously reach out to you in person but wanted you to know before word got around. Will miss all of you.

Erin E. Schneider
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From: Schneider, Erin
To: Haddad, Edward G.
Date: Wednesday, February 23, 2022 2:14:06 PM

Thanks again Ed. I can't tell you how much I appreciate it.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
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schneidere@sec.gov

From: Schneider, Erin
To: Katz, Brian
Date: Tuesday, March 8, 2022 3:54:15 PM

Hi – I sent you an email about some SFRO hiring and wanted to chat a little further with you about it. Are you around today? I have a meeting at 4pm your time but could probably call around 430.

Erin E. Schneider
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From: Schneider, Erin
To: Winkler, Monique
Date: Wednesday, March 2, 2022 12:30:11 PM

(b)(6) does not want to be co-Acting Regional Director. So it will just be you. Plan to tell Gurbir this but let me know if you want to chat first.

From: Schneider, Erin
To: Haddad, Edward G.
Date: Wednesday, March 2, 2022 1:57:47 PM

Ugh this is really starting to feel awful.

From: Schneider, Erin
To: (b)(6)
Date: Thursday, March 3, 2022 1:18:57 AM

It was so nice to meet you in person today and fun to do the panel with you. Hope the rest of your afternoon/evening was fun and that you have a safe flight back!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Gottschall, Kurt L.
Date: Thursday, March 3, 2022 1:12:12 PM

Call me when you have a free moment

Sent from my iPhone

From: Schneider, Erin
To: Layne, Michele W.
Date: Friday, March 4, 2022 3:00:05 PM

Did you guys get your (b)(6) for (b)(6) yet? This process is killing me. I just keep having to follow up

From: Schneider, Erin
To: Gottschall, Kurt L.
Date: Monday, March 14, 2022 3:08:02 PM

Did you call me Friday?

From: Schneider, Erin
To: Ro, Elena
Date: Tuesday, February 1, 2022 3:12:40 PM

Hi – just call me when you get a moment to discuss the email I'm going to send re Comm'r Peirce's visit.

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San Francisco, California 94104
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From: Schneider, Erin
To: Winkler, Monique; Buchholz, Steven
Date: Tuesday, March 15, 2022 3:16:54 PM

Would be cool to have (b)(6) and (b)(6) come in and talk to the office about what they're doing

Sent from my iPhone

From: Schneider, Erin
To: Gregus, Daniel
Date: Tuesday, March 15, 2022 8:29:45 PM

Can you forward me Rich's invitation for the prep meeting tomorrow? I accidentally deleted it . . . .

From: Schneider, Erin
To: Greiner, Natasha (Vij)
Date: Wednesday, March 16, 2022 2:26:31 PM

I just had a ton of time clear up from now until 2 pm PDT if you want to try me.

From: Schneider, Erin
To: Waldon, Samuel
Date: Friday, March 4, 2022 4:17:33 PM

How does one get a hold of you? Multiple people have the phone number that is listed for you in the directory . . . . .

Erin E. Schneider
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United States Securities & Exchange Commission
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San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Date: Friday, March 4, 2022 6:00:16 PM

From: U.S. District Court for the District of Massachusetts <uscourts@updates.uscourts.gov>
Sent: Friday, March 04, 2022 4:43 PM
To: Levenson, Paul <(b)(6) @SEC.GOV>
Subject: USDC-MA Press Release: Paul G. Levenson Selected to be a U.S. Magistrate Judge in the District of Massachusetts

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UNITED STATES DISTRICT COURT
for the
DISTRICT OF MASSACHUSETTS

ROBERT M. FARRELL
Clerk of Court
www.mad.uscourts.gov

UNITED STATES DISTRICT COURT
DISTRICT OF MASSACHUSETTS
Office of the Clerk
1 Courthouse Way
Boston, MA 02210

PRESS RELEASE

March 4, 2022

Paul G. Levenson Selected to be a U.S. Magistrate Judge in the District of Massachusetts

The Judges of the United States District Court for the District of Massachusetts have selected Paul G. Levenson to be a magistrate judge, subject to the required background investigation. When appointed, Mr. Levenson will sit in Boston.

Mr. Levenson began his legal career as a Law Clerk for the Honorable Stanley J. Weigel in the U.S. District Court for the Northern District of California. Following his clerkship, he worked in private practice as an Associate at Kaye Scholer Fierman Hays & Handler LLP and then Gibson, Dunn & Crutcher LLP. In 1989, he joined the Office of the United States Attorney for the District of Massachusetts. As an Assistant U.S. Attorney, he worked in the Civil and then Criminal divisions, the last six years of service as the Chief of the Economic Crimes Unit. In 2013, he joined the Securities and Exchange Commission as Regional Director, supervising a staff of 170 professionals in six New England states.

Chief Judge F. Dennis Saylor IV said of the selection: “Paul Levenson has extensive experience and a strong reputation for being a thoughtful, intelligent, and fair lawyer. We are delighted to welcome him as a new colleague on our court.”

Mr. Levenson received a BA in Social Studies from Harvard College. He is a graduate of Harvard Law School.

(Contact: Robert M. Farrell, Clerk, U.S. District Court, District of Massachusetts, 617-748-9165)

USDC-MA Media Relations ***media@mad.uscourts.gov***

The mission of the USDC-MA Clerk's Office is to provide access to an impartial forum for the resolution of disputes through prompt service to the Court, members of the bar, and the public.

From: Schneider, Erin
To: Cassidy, Keith; Hawes, Todd R
Date: Monday, March 7, 2022 11:22:57 AM

Hi Todd/Keith – I have a conflict this morning and won't make the 830/1130.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
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schneidere@sec.gov

From: Schneider, Erin
To: Buchholz, Steven; Winkler, Monique
Date: Tuesday, March 8, 2022 10:49:03 AM

Wow. There is so much to unpack in that filing.

From: Schneider, Erin
To: Ro, Elena; Winkler, Monique; Haddad, Edward G.
Date: Friday, March 11, 2022 12:31:33 PM

I've got a light Friday email today – anything you want me to highlight from the programs?

Erin E. Schneider
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United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
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schneidere@sec.gov

From: Schneider, Erin
To: Ro, Elena; Winkler, Monique; Haddad, Edward G.
Date: Friday, March 11, 2022 2:55:17 PM

I attended the OPs call this morning – will send around a summary in a bit

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Buchholz, Steven
Date: Thursday, January 27, 2022 10:32:44 PM

Hi I just had something scheduled I have to take at 2. Any chance we can talk sometime in the morning?

Sent from my iPhone

From: Schneider, Erin
To: Ro, Elena; Winkler, Monique
Date: Thursday, March 17, 2022 11:43:52 AM

I've got interviews for SFLRO starting at 9 and am not yet in, so doubtful will make it in today.

From: Schneider, Erin
To: Winkler, Monique
Date: Friday, March 18, 2022 3:55:30 PM

This was when FB was "pre-IPO" if you can believe it

Sent from my iPhone

From: Schneider, Erin
To: Buchholz, Steven
Date: Friday, January 28, 2022 11:32:00 AM

Hi I can't get into my computer. Will you call my office line (b)(6)

Sent from my iPhone

From: Schneider, Erin
To: Winkler, Monique
Date: Wednesday, March 23, 2022 4:38:14 PM

Do you think that they know to send me a CCM invite to allow me to speak????? This is not going to go well.
Maybe I should make sure to do it from 2856! Ha ha ha ha ha

From: Schneider, Erin
To: Lyttle, Jeffrey A.
Date: Thursday, March 24, 2022 7:33:51 PM

I'm sorry I missed you in person. It's been a non-stop day. I'll give you a call tomorrow?

Erin E. Schneider
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schneidere@sec.gov

From: Schneider, Erin
To: Jackson, Teresa M.
Date: Monday, March 21, 2022 12:00:04 PM

I can't find my work phone – it's like I'm misplacing everything right at the last minute. Will you call my personal phone, (b)(6) ?

From: Schneider, Erin
To: Schneider, Erin
Date: Monday, March 21, 2022 5:39:43 PM

II

Sent from my iPhone

From: Schneider, Erin
To: Filipp, Chrissy
Date: Monday, March 21, 2022 8:05:17 PM

Going to make every effort to be in the office tomorrow, Weds, and Thurs!

Erin E. Schneider
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United States Securities & Exchange Commission
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San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Jones, Nekia; Peavler, David L.; Layne, Michele W.
Date: Tuesday, March 22, 2022 12:23:06 PM

Trying to give us a little breathing room before the next one starts.

From: Schneider, Erin
To: Beard, Tanya G.
Date: Friday, January 14, 2022 1:54:21 PM

Wish I could say these normally go differently – ha ha ha ha ha

From: Schneider, Erin
To: Layne, Michele W.
Date: Tuesday, March 22, 2022 3:26:39 PM

Will you be going into the office anytime soon? I had something I wanted to send, but will send to your house if it will be a while.

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From: Schneider, Erin
To: Ro, Elena
Date: Tuesday, March 22, 2022 6:31:52 PM

Jina's old reviews of her AD group?

From: Schneider, Erin
To: Ro, Elena; Winkler, Monique
Date: Tuesday, March 22, 2022 6:47:41 PM

I just found my JD certificate plus my admission to the (b)(6) certificate. Never framed. After (b)(6) (b)(6). Apparently I just move them from office to office.

From: Schneider, Erin
To: Kahl, Daniel
Date: Friday, March 25, 2022 11:43:20 AM

What happened to your press release? Now next week with priorities?

Sent from my iPhone

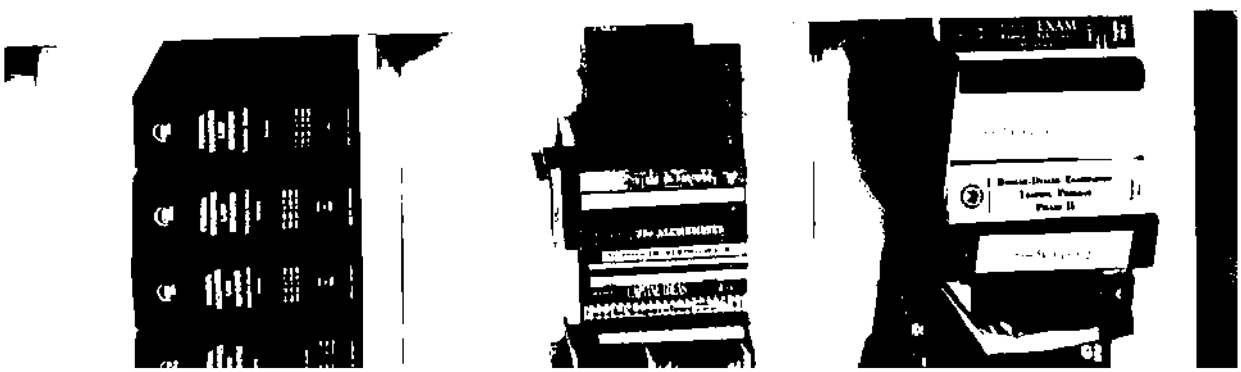
From: Schneider, Erin
To: Vasquez, Carlos; Ro, Elena; Winkler, Monique
Date: Tuesday, March 22, 2022 8:36:18 PM

Carlos look what I just found…….

(b)(5)

Sent from my iPhone

From: Schneider, Erin
To: Schneider, Erin
Date: Tuesday, March 22, 2022 8:29:26 PM



Sent from my iPhone

From: Schneider, Erin
To: Schneider, Erin
Date: Tuesday, March 22, 2022 8:29:45 PM

Sent from my iPhone

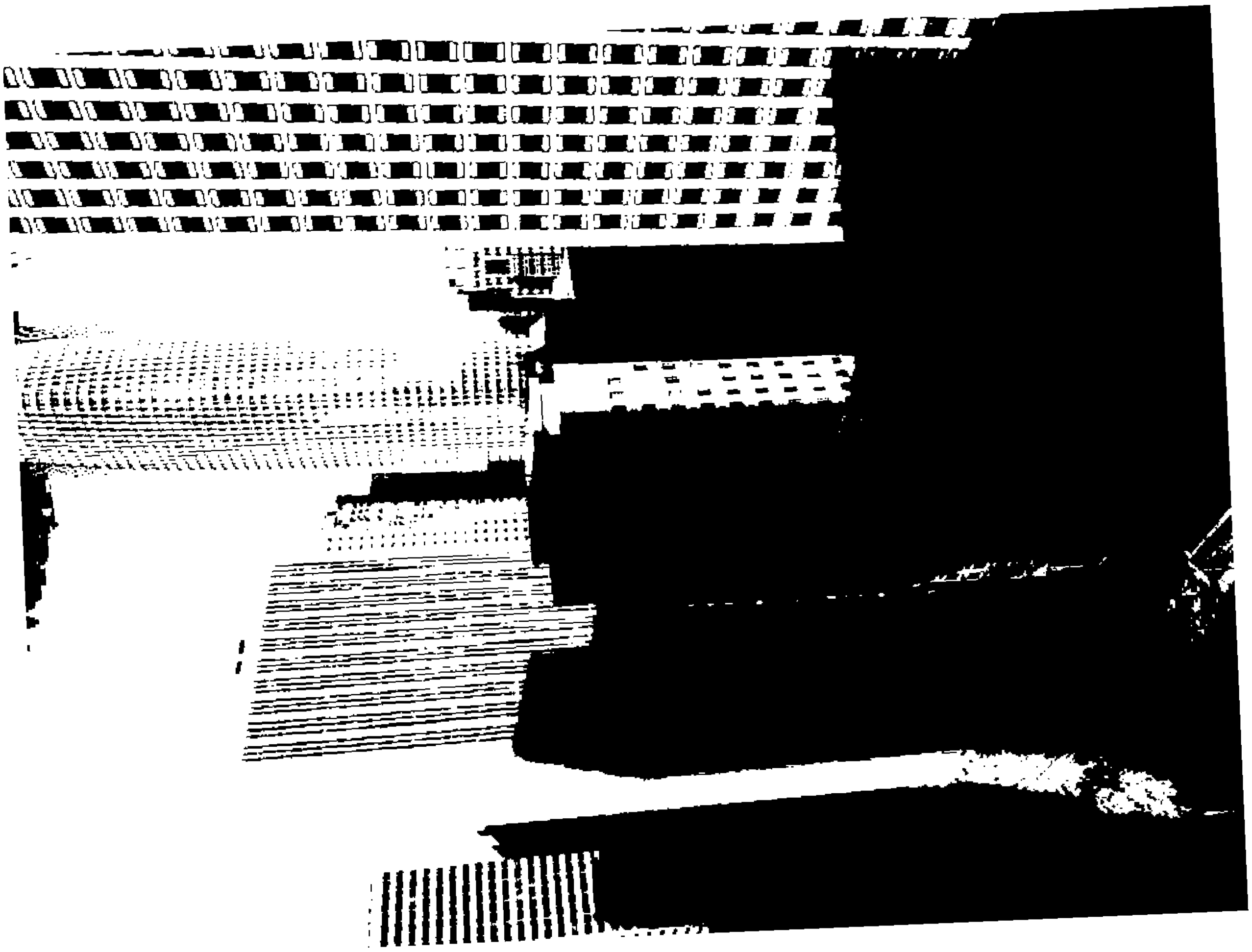
From: Schneider, Erin
To: Schneider, Erin
Date: Tuesday, March 22, 2022 8:30:01 PM

Sent from my iPhone

From: Schneider, Erin
To: Haddad, Edward G.; Schulman, Alice; Wilson, Stephanie; Ta, Thu Bao; Tomars, Michael
Date: Wednesday, February 2, 2022 2:55:07 PM

I guess they did tell the firms!

From: Schneider, Erin
To: Schneider, Erin
Date: Tuesday, March 22, 2022 8:29:05 PM



Sent from my iPhone

From: Schneider, Erin
To: Schneider, Erin
Date: Tuesday, March 22, 2022 8:30:16 PM

Sent from my iPhone

From: Schneider, Erin
To: Winkler, Monique
Date: Friday, March 25, 2022 7:56:45 PM

My records for the SFRO EXAM Associate interviews are in my locked drawer which is attached to the backdesk with the white board. The keys to that drawer (b)(6) (b)(6). You should grab those when you get back into the office and hang onto them.

From: Schneider, Erin
To: Ro, Elena; Winkler, Monique
Date: Saturday, March 26, 2022 6:39:22 PM

I just exported my contacts and am going to turn off my phone and put it in the box (b)(6) left for me. Will mail it Monday. If you need to reach me you know how.

Sent from my iPhone

From: Schneider, Erin
To: (b)(6)
Date: Monday, January 3, 2022 8:13:05 PM

I am sure your phone hasn't stopped ringing so I will wait to call you. But what a great day.
(b)(6)

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From: Schneider, Erin
To: Ro, Elena
Subject: RE:
Date: Monday, January 10, 2022 5:56:12 PM

Just tried you but you are probably with (b)(6)

From: Ro, Elena (b)(6) @sec.gov>
Sent: Monday, January 10, 2022 1:03 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

It's pretty good today – just please call me. I'm in the office to do (b)(6) PIV card, but (b)(6) doesn't show up until 3:00 pm. (b)(6) has come into my office 5 times today.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, January 10, 2022 1:00 PM
To: Ro, Elena (b)(6) @sec.gov>
Subject:

We should chat about what to do for Kristin's goodbye . . . . . . what's your schedule look like today?

From: Schneider, Erin
To: Schulman, Alice
Subject: RE:
Date: Wednesday, February 9, 2022 4:29:13 PM

XOXO

From: Schulman, Alice (b)(6) @sec.gov>
Sent: Wednesday, February 9, 2022 1:27 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

Ok, we'll miss you, I'll tell the group you sent your regrets!
Thanks.

Alice

Alice L. Schulman, Assistant Regional Director, Examinations
United States Securities and Exchange Commission
44 Montgomery Street, Suite 2800 | San Francisco, CA 94104
Landline (b)(6) | Mobile (b)(6) | Email (b)(6) @sec.gov

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, February 9, 2022 1:26 PM
To: Schulman, Alice (b)(6) @sec.gov>
Subject:

Alice – just FYI that I can't make virtual coffee – but have fun!

From: Schneider, Erin
To: (b)(6)
Cc: Ro, Elena
Subject: RE:
Date: Tuesday, February 15, 2022 3:15:27 PM

Oh good I'm glad so many folks were able to come!

From: (b)(6) @SEC.GOV>
Sent: Tuesday, February 15, 2022 11:51 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: RE:

It looks like 103 people attended. List is attached.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, February 15, 2022 11:18 AM
To: (b)(6) @SEC.GOV>
Cc: Ro, Elena <(b)(6) @sec.gov>
Subject:

(b)(6) – is there any way to tell how many folks from the office attended the Town Hall?

Erin E. Schneider
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schneidere@sec.gov

From:	Schneider, Erin
To:	Ro, Elena
Subject:	RE:
Date:	Friday, February 25, 2022 12:44:25 PM

Yes! And I'll definitely be in because of my speech so I'll find somewhere funny to take it.

From: Ro, Elena <(b)(6)@sec.gov>
Sent: Friday, February 25, 2022 9:37 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

We start this next week?

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, February 25, 2022 9:18 AM
To: Ro, Elena <(b)(6)@sec.gov>
Subject:

Shoot – we forgot to take a pic of the office for my Friday email!!!!!!!!!

From: Schneider, Erin
To: Gottschall, Kurt L.
Subject: RE:
Date: Monday, March 14, 2022 3:10:00 PM

Not really – just a bunch of (b)(6)

From: Gottschall, Kurt L. <(b)(6) @SEC.GOV>
Sent: Monday, March 14, 2022 12:09 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

Yep – but it was just to check in on whether I missed anything significant in the early part of the RD call. (b)(6) and I have been phone-tagging on that.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, March 14, 2022 1:08 PM
To: Gottschall, Kurt L. <(b)(6) @SEC.GOV>
Subject:

Did you call me Friday?

From: Schneider, Erin
To: Ro, Elena
Subject: RE:
Date: Monday, March 14, 2022 6:44:49 PM

great

From: Ro, Elena <(b)(6)@sec.gov>
Sent: Monday, March 14, 2022 3:44 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

For those 3 years and younger, please give to me. Anything older than 3 years you can shred.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, March 14, 2022 3:38 PM
To: Ro, Elena <(b)(6)@sec.gov>
Subject:

I have a bunch of hiring docs – what should I do with those?

From: Schneider, Erin
To: Shah, Tejal
Cc: Tenreiro, Jorge
Subject: RE:
Date: Tuesday, March 15, 2022 5:21:51 PM

Thanks

From: Shah, Tejal (b)(6) @SEC.GOV>
Sent: Tuesday, March 15, 2022 1:50 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Tenreiro, Jorge (b)(6) @SEC.GOV>
Subject: FW:

From: Tenreiro, Jorge (b)(6) @SEC.GOV>
Sent: Tuesday, March 15, 2022 4:49 PM
To: Buchholz, Steven (b)(6) @sec.gov>; Andrews, Robin (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>; Schneider, Scott (b)(6) @SEC.GOV>
Cc: Shah, Tejal (b)(6) @SEC.GOV>
Subject:

From: Schneider, Erin
To: Haddad, Edward G.
Subject: RE:
Date: Wednesday, March 16, 2022 2:25:34 PM

Well, EXEC just got canceled. Remind me to raise it at the leadership call next week. And I'll give you feedback re what I hear from the other RDs

From: Haddad, Edward G. <(b)(6) @sec.gov>
Sent: Wednesday, March 16, 2022 11:17 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

Yes, I agree. (b)(5)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, March 16, 2022 11:15 AM
To: Haddad, Edward G. (b)(6) @sec.gov>
Subject:

(b)(5)

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Koretke, Charles
Subject: RE:
Date: Friday, March 4, 2022 4:11:45 PM

Super appreciate

From: Koretke, Charles (b)(6) @SEC.GOV>
Sent: Friday, March 4, 2022 1:10 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW:

See below. Christina runs work life programming in OHR and sent me these links that were in SEC Today earlier in the week. She is also going to do a little digging around with others at the agency (e.g., OHR, OMWI, affinity groups, volunteer committee) to inquire about any planned humanitarian efforts under way. Will share with you if I receive anything further.

From: D'Amico, Christina (b)(6) @SEC.GOV>
Sent: Friday, March 4, 2022 3:47 PM
To: Koretke, Charles (b)(6) @SEC.GOV>

Hi Charles,

Giving you a ring now:

MARCH 2, 2022 | (b)(6)

NEW

EAP Available to Help You Cope With Current World Events

Times like these can raise our stress level, and one place we can turn for help is the SEC's Employee Assistance Program (EAP), which offers voluntary, confidential counseling and referral services free of charge to agency employees, their household members and their dependents.

WorkLife Program's March Offerings

This Month's Feature: Staying Happy and Healthy While Working From Home

Check out the March 9 webinar and learn how to find balance, stay organized and maintain connection while working from home. Also, WorkLife4You can help you prepare for the spring season with anything from finding a home repair specialist to planning a major milestone celebration.

From: Schneider, Erin
To: Ro, Elena
Subject: RE:
Date: Wednesday, March 16, 2022 7:49:34 PM

Come by whenever ready!

From: Ro, Elena <(b)(6) @sec.gov>
Sent: Wednesday, March 16, 2022 4:44 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

I need to talk to you before you leave!

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, March 16, 2022 4:29 PM
To: Ro, Elena <(b)(6) @sec.gov>
Subject:

I know this is so much less important that (b)(7)(A) – which is SOOOOOOOOOOOOO exciting. But where is the other shred bin? I only found one (and it is now full).

From: Schneider, Erin
To: Ro, Elena
Subject: RE:
Date: Friday, January 21, 2022 12:56:48 PM

yep

From: Ro, Elena (b)(6) @sec.gov>
Sent: Friday, January 21, 2022 9:49 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:
Yes, that should work. I'll need to ask (b)(6) to make me, (b)(6) and (b)(6) co hosts so we can control any problems. Okay if I reach out to (b)(?

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, January 21, 2022 9:26 AM
To: Ro, Elena (b)(6) @sec.gov>
Subject:
So I just copied the Exam log in information and sent to the rest of the office beginning at 2:00. Do you think that will work?

From: Schneider, Erin
To: Gregus, Daniel; Best, Richard R
Subject: RE:
Date: Thursday, March 17, 2022 2:31:53 PM

Hi guys – would you mind at the very least sending me your scores so we can at least see whether we should discuss any of them? Maybe we're all on the same page and don't need to discuss further but if we do I'd rather do it sooner than next week. I can put them into (b)(6) spreadsheet.

From: Gregus, Daniel <(b)(6) @SEC.GOV>
Sent: Thursday, March 17, 2022 11:12 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Best, Richard R <(b)(6) @SEC.GOV>
Subject: RE:
I just sent something around

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, March 17, 2022 1:06 PM
To: Gregus, Daniel <(b)(6) @SEC.GOV>; Best, Richard R <(b)(6) @SEC.GOV>
Subject: RE:
I can.

From: Gregus, Daniel <(b)(6) @SEC.GOV>
Sent: Thursday, March 17, 2022 11:05 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Best, Richard R <(b)(6) @SEC.GOV>
Subject: RE:
I would love to talk for 5 minutes now and save the calibration for later. I need a few minutes break and need to leave at (b)(6) Can we talk at 1:15 for 5?
(b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, March 17, 2022 1:03 PM
To: Gregus, Daniel <(b)(6) @SEC.GOV>; Best, Richard R <(b)(6) @SEC.GOV>
Subject:
Do you guys want to calibrate now or wait until the other 2?

From: Schneider, Erin
To: Winkler, Monique
Subject: RE:
Date: Thursday, March 24, 2022 12:18:19 PM

Yes, I'll call you

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Thursday, March 24, 2022 9:17 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

Goodness, anyone else have rumors floating around them?

> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Thursday, March 24, 2022 9:15 AM
> **To:** Winkler, Monique <(b)(6) @sec.gov>
> **Subject:** RE:
>
> Ha ha ha ha ha yeah (b)(6) great (I have heard rumors (b)(6) (b)(6). But will be fun for you in the interim.
>
> **From:** Winkler, Monique <(b)(6) @sec.gov>
> **Sent:** Thursday, March 24, 2022 9:12 AM
> **To:** Schneider, Erin <SchneiderE@sec.gov>
> **Subject:** RE:
>
> I actually like (b)(6)!
>
>> **From:** Schneider, Erin <SchneiderE@sec.gov>
>> **Sent:** Thursday, March 24, 2022 9:10 AM
>> **To:** Winkler, Monique <(b)(6) @sec.gov>
>> **Subject:**
>>
>> You and (b)(6) (b)(6)
>>
>> *Erin E. Schneider*
>> Regional Director
>> United States Securities & Exchange Commission
>> 44 Montgomery Street, Suite 2800
>> San Francisco, California 94104
>> 415.705.2500
>> schneidere@sec.gov

From: Schneider, Erin
To: Weissman, Jessica
Subject: RE:
Date: Thursday, March 24, 2022 2:13:42 PM
Attachments: image001.png

Ha ha ha ha ha ha ha ha ha! I really warmed my heart to see you on screen!

From: Weissman, Jessica (b)(6) @sec.gov>
Sent: Thursday, March 24, 2022 11:13 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject:

OMG – thank you for singling me out and "seeing" me!! That meant (means) so much!!!

Jessica M. Weissman
Assistant Regional Director
United States Securities and Exchange Commission
Miami Regional Office
801 Brickell Avenue, #1950
Miami, Florida 33131
P: (b)(6)

From: Schneider, Erin
To: Ro, Elena; Lee, Mark
Subject: RE:
Date: Tuesday, March 22, 2022 6:14:41 PM

Thanks to both of you!

From: Ro, Elena (b)(6) @sec.gov>
Sent: Tuesday, March 22, 2022 2:51 PM
To: Lee, Mark (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

(b)(6) address is:
(b)(6)

From: Lee, Mark (b)(6) @SEC.GOV>
Sent: Tuesday, March 22, 2022 2:37 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: RE:

Hi Erin,

NAME HOME ADDRESS
(b)(6)

I am in the process of confirming (b)(6) 's address. I show (b)(6) last address as (b)(6) , but (b)(6) now works under (b)(6) , so I no longer have access to (b)(6) info in OBIEE.

I'm trying a confirm (b)(6) mailing address using a different process. Also (b)(6)

Will try to update you later today on (b)(6) address.

Regards,
Mark

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, March 22, 2022 12:29 PM
To: Lee, Mark (b)(6) @SEC.GOV>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject:

HI (b)(6) – would you mind pulling for me the home addresses for the following folks (I need to send them their prizes for the WhereamI contest):
(b)(6)

(b)(6)

From: Schneider, Erin
To: Gregus, Daniel; Best, Richard R
Subject: RE:
Date: Friday, March 25, 2022 3:23:40 PM

Did you guys talk?

From: Gregus, Daniel <(b)(6) @SEC.GOV>
Sent: Friday, March 25, 2022 11:55 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Best, Richard R <(b)(6) @SEC.GOV>
Subject: RE:

I can. Now or at 3:30 Central.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, March 25, 2022 1:52 PM
To: Best, Richard R <(b)(6) @SEC.GOV>; Gregus, Daniel (b)(6) @SEC.GOV>
Subject:

Can you guys do a brief call to at least finalize from my perspective?

From: Schneider, Erin
To: Ro, Elena
Subject: RE:
Date: Wednesday, February 2, 2022 12:28:25 PM

Okay?

From: Ro, Elena (b)(6) @sec.gov>
Sent: Wednesday, February 2, 2022 9:16 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

Now?

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, February 2, 2022 9:05 AM
To: Ro, Elena (b)(6) @sec.gov>
Subject:

Hi there – I need to talk to you about something important – let me know when is a good time – 30 mins or so?

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Finlev, Theis
Subject: RE:
Date: Friday, March 25, 2022 4:42:19 PM

yep

From: Finlev, Theis (b)(6) @SEC.GOV>
Sent: Friday, March 25, 2022 1:42 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

I'm here. I can come up now. You free?

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, March 25, 2022 1:41 PM
To: Finlev, Theis (b)(6) @SEC.GOV>
Subject:

Sorry . . . . are you here? Or what number should I call??

From: Schneider, Erin
To: Buchholz, Steven
Subject: RE:
Date: Monday, January 31, 2022 12:32:10 PM

Let's do 1

From: Buchholz, Steven (b)(6) @sec.gov>
Sent: Monday, January 31, 2022 9:31 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

How about 12:30 or 1?

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, January 31, 2022 8:54 AM
To: Buchholz, Steven (b)(6) @sec.gov>
Subject:

When is good for you to chat to follow up on our chat from last Friday?

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Ro, Elena
Subject: RE:
Date: Friday, January 14, 2022 10:33:10 AM

Ha ha I actually wasn't! I'll call you in a bit

From: Ro, Elena (b)(6) @sec.gov>
Sent: Friday, January 14, 2022 7:27 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject:
infuriating

From: Schneider, Erin
To: Cooper, Cindy N.
Subject: RE:
Date: Tuesday, January 25, 2022 4:42:26 PM

I told (b)(6) I was really struggling because I don't want to start off the farewell by crying. So I'm trying to keep it light. But we'll see. We have eight confirmed and I'm sure we will have more on the fly

From: Cooper, Cindy N. (b)(6)@sec.gov>
Sent: Tuesday, January 25, 2022 1:32 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject:

I hope you have lots of speakers today. I knew I wouldn't be able to do it. I uploaded a new photo just in case ☺

Cindy Cooper
U.S. Securities and Exchange Commission
San Francisco Regional Office
(b)(6)
(b)(6)

From:	Schneider, Erin
To:	Radkar, Shanti
Subject:	RE:
Date:	Wednesday, February 9, 2022 2:25:50 PM
Attachments:	image002.png image004.png

Agreed, so nice to catch up with you! Yes, I will never forget my (b)(6)
(b)(6)

From: Radkar, Shanti (b)(6) @SEC.GOV>
Sent: Wednesday, February 9, 2022 10:37 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

Too funny! Thanks so much for taking the time to chat with me today. It was really so nice to say hi and catch up :) I definitely hope to see you in person sometime soon. – (b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, February 9, 2022 10:14 AM
To: Radkar, Shanti (b)(6) @SEC.GOV>
Subject: RE: EXAMS Home Office Diversity Committee Presentation: "The Community Reinvestment Act" with Guest Speaker Dr. LaVaughn Henry (Feb. 24, 11 a.m. ET)

Ha ha I just got this message!.!!!

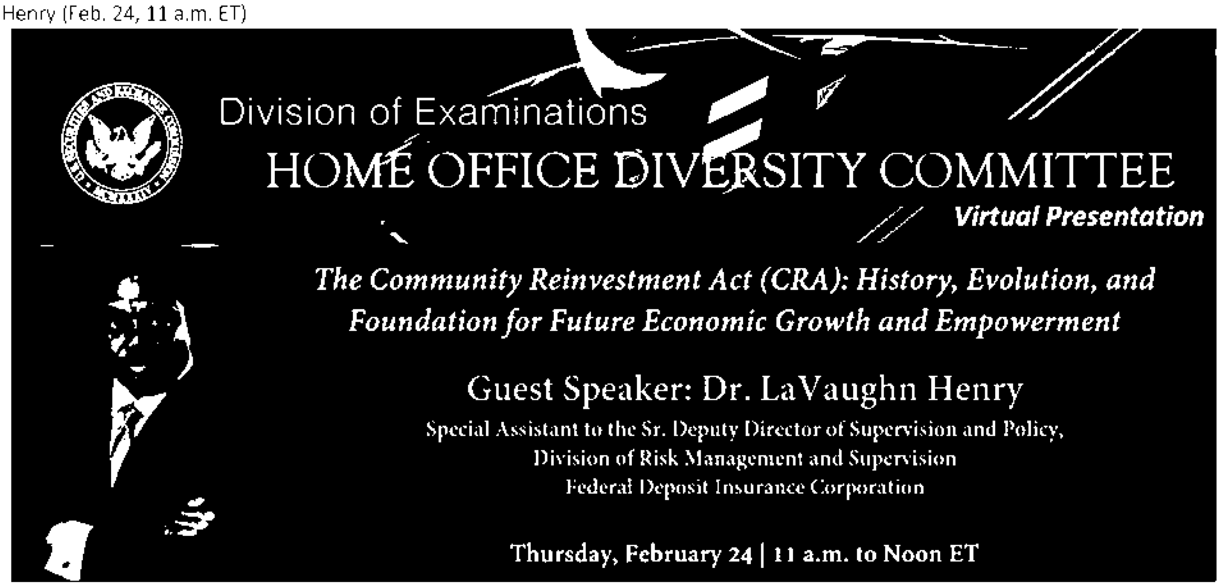
From: Radkar, Shanti (b)(6) @SEC.GOV>
Sent: Wednesday, February 9, 2022 9:29 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: EXAMS Home Office Diversity Committee Presentation: "The Community Reinvestment Act" with Guest Speaker Dr. LaVaughn Henry (Feb. 24, 11 a.m. ET)

Hi – just wondering if you are in the office today? I am! If so I can just run up to your office.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, February 9, 2022 9:20 AM
To: #SFRO\EVERYONE (b)(6) @SEC.GOV>
Subject: FW: EXAMS Home Office Diversity Committee Presentation: "The Community Reinvestment Act" with Guest Speaker Dr. LaVaughn Henry (Feb. 24, 11 a.m. ET)

I wanted to forward this opportunity to all of SFRO – it looks really interesting and would encourage anyone who is interested to attend.

From: NEP Announcements (b)(6) @SEC.GOV>
Sent: Wednesday, February 9, 2022 6:07 AM
To: #All Exam Staff (b)(6) @SEC.GOV>
Subject: EXAMS Home Office Diversity Committee Presentation: "The Community Reinvestment Act" with Guest Speaker Dr. LaVaughn Henry (Feb. 24, 11 a.m. ET)



Save the Date
Thursday, February 24
11a.m. to Noon ET

Division of Examinations

HOME OFFICE DIVERSITY COMMITTEE

Virtual Presentation

The Community Reinvestment Act (CRA): History, Evolution, and Foundation for Future Economic Growth and Empowerment

Guest Speaker: Dr. LaVaughn Henry

Special Assistant to the Sr. Deputy Director of Supervision and Policy,
Division of Risk Management and Supervision
Federal Deposit Insurance Corporation

Thursday, February 24 | 11 a.m. to Noon ET

<u>Webex</u>

Meeting number: (b)(6) Password: (b)(6)

Dial: (b)(6)

All,

In honor of African American Heritage Month, I want to highlight, and encourage you to attend, an upcoming virtual presentation hosted by the EXAMS Home Office Diversity Committee on **Thursday, February 24 (11 a.m. to Noon ET)**. Our guest speaker will be **Dr. LaVaughn Henry**, Special Assistant to the Sr. Deputy Director of Supervision and Policy, Division of Risk Management & Supervision, Federal Deposit Insurance Corporation (FDIC).

Dr. Henry will speak on ***The Community Reinvestment Act (CRA): History, Evolution, and Foundation for Future Economic Growth and Empowerment***. His presentation will provide us with a history of why and how the CRA was passed, how it has evolved since its passage almost 45 years ago, and what its implications are for future economic growth and empowerment of affected communities and financial institutions. Dr. Henry will hold a Q&A session at the end of his presentation.

I look forward to Dr. Henry's talk and hope that you will make time to attend. Special thanks goes to (b)(6) and the EXAMS Home Office Diversity Committee for organizing this event.

About our Speaker

Dr. Henry has an extensive background in finance and economics, with vast experience in the public, private and academic sectors. Prior to his current role, Dr. Henry served on a detail assignment as a Senior Economist on the Council of Economic Advisers in the Executive Office of the President of the United States. Before joining the FDIC, Dr. Henry was a Vice President and Senior Regional Officer for the Cincinnati branch office of the Federal Reserve Bank of Cleveland. Prior to the Federal Reserve, he served in a variety of senior roles at Fannie Mae, the Office of Federal Housing Enterprise Oversight, The PMI Group, Ford Motor Company, PricewaterhouseCoopers, and the Budget Committee of the US House of Representatives. He currently serves as the Chairman of the Board for the National Association for Business Economists Foundation and is very active in the economic community. Dr. Henry earned his Ph.D. in Economics from Harvard University.

Questions about this Event?

For questions about this presentation, email the <u>EXAMS Home Office Diversity Committee</u>.

(b)(6)

EXAMS

From: Schneider, Erin
To: Kahl, Daniel
Subject: RE:
Date: Wednesday, February 2, 2022 4:20:25 PM

Yep. Do you want to call me? (b)(6)

From: Kahl, Daniel <(b)(6) @SEC.GOV>
Sent: Wednesday, February 2, 2022 1:20 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

Are you free at 4:30ish my time?

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, February 2, 2022 4:18 PM
To: Kahl, Daniel <(b)(6) @SEC.GOV>
Subject:

I hate to do this – especially when you've had a long day of talking. But I need to chat with you . . . . . let me know if you have time today. Can be tomorrow too.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE:
Date: Thursday, January 6, 2022 2:16:54 PM

But I love that (b)(6) is tearing up

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Thursday, January 6, 2022 11:14 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

No – it is on now

> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Thursday, January 6, 2022 11:07 AM
> **To:** Winkler, Monique <(b)(6) @sec.gov>
> **Subject:**
>
> I feel like I did something weird to my CCM Calendar invite. Or did the meeting actually get moved to 1130?

From: Schneider, Erin
To: Wilson, Stephanie
Cc: Ro, Elena
Subject: RE: 2/16 & 2/17
Date: Tuesday, February 15, 2022 5:36:38 PM

Thanks!

From: Wilson, Stephanie (b)(6) @sec.gov>
Sent: Tuesday, February 15, 2022 1:52 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Ro, Elena <(b)(6)@sec.gov>
Subject: 2/16 & 2/17

Erin & Elena-

(b)(6)

Thanks!

Steph

Stephanie A. Wilson
U.S. Securities and Exchange Commission
Assistant Regional Director-Regulation
44 Montgomery St, Suite 2800
San Francisco, CA 94104
(b)(6)

From: Schneider, Erin
To: Tomars, Michael
Subject: RE: A New EFS Process v5.pptx
Date: Wednesday, March 16, 2022 2:16:43 PM

Thanks!

From: Tomars, Michael (b)(6) @sec.gov>
Sent: Wednesday, March 16, 2022 11:16 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: A New EFS Process v5.pptx

Just fyi

From: Wilson, Stephanie <(b)(6) @sec.gov>
Sent: Wednesday, March 16, 2022 11:14 AM
To: Tomars, Michael (b)(6) @sec.gov>
Subject: RE: A New EFS Process v5.pptx

(b)(6)

From: Tomars, Michael (b)(6) @sec.gov>
Sent: Wednesday, March 16, 2022 11:03 AM
To: Wilson, Stephanie <(b)(6) @sec.gov>
Subject: A New EFS Process v5.pptx

I found this document on ExamNet.

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: ABA panel
Date: Thursday, March 3, 2022 10:58:22 AM

Ha ha ha ha ha ha ha I forgot mine yesterday!!!!!!

From: Winkler, Monique <(b)(6) @sec.gov>
Sent: Thursday, March 3, 2022 7:55 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: ABA panel

Call me on my office number (b)(6). I forgot my cell phone this morning.

> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Thursday, March 3, 2022 7:52 AM
> **To:** Winkler, Monique <(b)(6) @sec.gov>
> **Subject:** RE: ABA panel
>
> No (b)(6) I'll call you about something, though. Honestly, I didn't see many of the normal players. (b)(6)
>
> > **From:** Winkler, Monique <(b)(6) @sec.gov>
> > **Sent:** Thursday, March 3, 2022 7:35 AM
> > **To:** Schneider, Erin <SchneiderE@sec.gov>
> > **Subject:** RE: ABA panel
> >
> > ☹ No (b)(6) I suspect mine will be smaller at the end of the day with multiple breakout sessions. I thought of (b)(6) this morning as I was driving in because there is a gigantic billboard for (b)(6)
> >
> > > **From:** Schneider, Erin <SchneiderE@sec.gov>
> > > **Sent:** Wednesday, March 2, 2022 9:50 PM
> > > **To:** Winkler, Monique <(b)(6) @sec.gov>
> > > **Subject:** Re: ABA panel
> > >
> > > Biggest I've seen….. no one is wearing a mask. Went fine. Was my last SEC public appearance. Felt sad. Saw (b)(6)
> > >
> > > Sent from my iPhone
> > >
> > > > On Mar 2, 2022, at 7:30 PM, Winkler, Monique <(b)(6) @sec.gov> wrote:
> > > >
> > > > How did it go? Was there a big live audience?
> > > >
> > > > *Monique C. Winkler*
> > > > Associate Regional Director, Enforcement
> > > > U.S. Securities and Exchange Commission
> > > > 44 Montgomery Street, Suite 2800
> > > > San Francisco, California 94104-4691
> > > > Telephone: (b)(6)
> > > > Fax: 415.705.2500
> > > > (b)(6) @sec.gov

From: Schneider, Erin
To: Davis, Tracy L.
Subject: RE: ARO/SFRO/AAC Black History Month Event
Date: Wednesday, February 23, 2022 3:45:04 PM

Given that Nekia likely won't make the call – do you still want me to do an introduction? Or do you and (b)(6) want to do it together? I'm fine with whatever you think is best.

From: (b)(6) @sec.gov>
Sent: Friday, February 18, 2022 5:39 PM
To: Jones, Nekia (b)(6) @SEC.GOV>
Cc: (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: ARO/SFRO/AAC Black History Month Event

No problem. Safe travels!

(b)(6) | Assistant Regional Director, Division of Enforcement |
U.S. Securities and Exchange Commission |
44 Montgomery Street, Suite 2800 San Francisco, CA 94104 |
Ph (b)(6) email (b)(6) @SEC.GOV

From: Jones, Nekia (b)(6) @SEC.GOV>
Sent: Friday, February 18, 2022 3:04 PM
To: (b)(6) @sec.gov>
Cc: (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: ARO/SFRO/AAC Black History Month Event

(b)(6)

In my excitement to support this event, I forgot one important detail. I will be travelling to DC the morning of 2/24 and there is a chance that I will not make it to my hotel until closer to 1 PM. Of course, this means that I may miss the start of the event or, worse yet, the entire event. Argh!

Given (b)(6) involvement in the program, (b)(6) is more than welcome to bring greetings on my behalf and on behalf of the ARO. I will send a message to (b)(6) and (b)(6) if it looks like I will be able to join the meeting before it starts.

Again, my apologies for the scheduling oversight on my part!

Nekia Hackworth Jones, Esq.
Regional Director
Atlanta Regional Office
U.S. Securities & Exchange Commission
Cell: (b)(6)

From: Jones, Nekia
Sent: Friday, February 18, 2022 11:15 AM
To: (b)(6) @sec.gov>
Cc: (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: ARO/SFRO/AAC Black History Month Event

(b)(6)

Good morning! I am happy to participate and look forward to attending.

Kudos to you and (b)(6) for doing so much heavy lifting on this fantastic event.

Nekia Hackworth Jones, Esq.
Regional Director

Atlanta Regional Office
U.S. Securities & Exchange Commission
Cell: (b)(6)

From: (b)(6) @sec.gov>
Sent: Friday, February 18, 2022 10:43 AM
To: Jones, Nekia (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>
Cc: (b)(6) @SEC.GOV>
Subject: ARO/SFRO/AAC Black History Month Event

Nekia and Erin,

We have the schedule with Dr. Thompson set for the Black History Month Event Thursday next week from 12:00ET-1:00ET. (b)(6) and I are working on the run of the show. We thought each of you will say a few words of welcome at the beginning. Then (b)(6) will introduce Dr. Thompson. Dr. Thompson will make his presentation and then (b)(6) and I will ask questions to prompt discussion on a couple of additional topics. I will present the certificate at the end and close out the program. Let me know if either of you have questions or other suggestions.

(b)(6)
(b)(6) | Assistant Regional Director, Division of Enforcement |
U.S. Securities and Exchange Commission |
44 Montgomery Street, Suite 2800 San Francisco, CA 94104 |
Ph (b)(6) | email (b)(6) @SEC.GOV

From: Schneider, Erin
To: Filipp, Chrissy
Subject: RE: All-hands meeting
Date: Thursday, March 3, 2022 2:01:38 PM

Oh no. I messed up my email. My speaking event was yesterday and [redacted] Monique's is today and I think I confused mine and [redacted]. I really really really really hope you didn't come in just to see me. That said, tell me when to come back (i.e. what's good for you to come into the office) and I will be there. . . . .

From: Filipp, Chrissy [redacted]@SEC.GOV>
Sent: Thursday, March 3, 2022 11:00 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: All-hands meeting

Hi Erin! Will you still be in the office this afternoon?

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, February 25, 2022 12:57 PM
To: Filipp, Chrissy [redacted]@SEC.GOV>
Subject: RE: All-hands meeting

I will be in! I'm speaking at an event on Thursday. Would love to catch up.

From: Filipp, Chrissy [redacted]@SEC.GOV>
Sent: Friday, February 25, 2022 12:40 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: All-hands meeting

Hi Erin,

I was [redacted] during the all-hands, and when [redacted] I was so sad to see that you're leaving (although I'm sure there are great things ahead for you)!

I would love to catch up with you in the office. Any chance you'll be in next week?

Thanks,

Chrissy

Chrissy Filipp
Senior Counsel, Division of Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, 28th Floor
San Francisco, CA 94104
O: [redacted]
F: 415-705-2501
[redacted]@sec.gov

From: Schneider, Erin
To: Winkler, Monique; Pendrey, Jeremy
Cc: LaMarca, Susan F.
Subject: RE: (b)(5)
Date: Tuesday, January 11, 2022 12:02:54 PM

That's great news, Jeremy. Really happy to hear this and thanks for letting us know. Right resolution.

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Tuesday, January 11, 2022 9:00 AM
To: Pendrey, Jeremy <(b)(6) @sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>; LaMarca, Susan F. (b)(6) @sec.gov>
Subject: RE: (b)(5)

Thanks for the update!

> **From:** Pendrey, Jeremy <(b)(6) @sec.gov>
> **Sent:** Tuesday, January 11, 2022 8:57 AM
> **To:** Winkler, Monique (b)(6) @sec.gov>
> **Cc:** Schneider, Erin <SchneiderE@sec.gov>; LaMarca, Susan F. (b)(6) @sec.gov>
> **Subject:** (b)(5)
>
> (b)(5)
>
> Jeremy E. Pendrey
> Assistant Regional Director
> Asset Management Unit
> SEC Enforcement
> (b)(6)

From: Schneider, Erin
To: (b)(6); (b)(7)(C)
Subject: RE: (b)(7)(A)
Date: Friday, February 4, 2022 12:59:05 PM

Hi, I probably have a few emails that are not on J, though I highly doubt that I have anything that you don't have. How should I handle?

From: (b)(6); (b)(7)(C) @sec.gov>
Sent: Friday, February 4, 2022 9:56 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: (b)(7)(A)

Good morning.

(b)(5)

Thanks.

(b)(6); (b)(7)(C)

Securities and Exchange Commission
Division of Enforcement
San Francisco Regional Office
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4802
Telephone: (b)(6)
Email: (b)(6) @sec.gov

From: (b)(6); (b)(7)(C)
Sent: Monday, January 31, 2022 3:40 PM
To: Schneider, Erin <SchneiderE@sec.gov>; (b)(6); (b)(7)(C) @sec.gov>; (b)(6); (b)(7)(C)
(b)(6); (b)(7)(C) @sec.gov>
Subject: RE: (b)(7)(A)
(b)(7)(A)

Erin, (b)(6); (b)(7)(C)

(b)(5)

Thanks.

(b)(6); (b)(7)(C)

Securities and Exchange Commission
Division of Enforcement
San Francisco Regional Office
44 Montgomery Street, Suite 2800
San Francisco, California 94104 4802
Telephone (b)(6); (b)(7)(C)

Email: [redacted]@sec.gov

From: [redacted]
Sent: Monday, March 22, 2021 10:03 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: [redacted]

Please see below.

From: [redacted]
Sent: Monday, March 22, 2021 9:50 AM
To: [redacted]@SEC.GOV>; [redacted]@sec.gov>; [redacted]@sec.gov>; [redacted]@SEC.GOV>
Subject: [redacted]

In connection with the closing of this investigation, kindly:

1. Let me know if you have any **hard copy documents in your possession (at home or in the office)** related to this investigation (please provide a rough estimate of volume, such as "1 redweld" or "1 box");
2. Let me know if you have any **electronic media in your possession (at home or in the office)** (such as hard drives, flash drives, CDs or DVDs) related to this investigation (please briefly describe);
3. **Move all emails** related to this investigation to your "Staff Emails" folder on the J drive at [redacted] within the next 30 days or as soon as practicable upon returning to the office after mandatory telework; and
4. **Move all electronic documents** not already in the J drive folder for this investigation (such as those on your F drive) to [redacted] within the next 30 days or as soon as practicable upon returning to the office after mandatory telework.

Thank you.

[redacted]

Securities and Exchange Commission
San Francisco Regional Office
44 Montgomery Street, Suite 2800
San Francisco, California 94104
Telephone [redacted]
Fax: (415) 705-2501
Email: [redacted]@sec.gov

From: Schneider, Erin
To: Michael Dicke
Subject: RE: Another Views from the Top and...
Date: Wednesday, January 26, 2022 10:03:30 PM

I know, right – I warned (b)(6) about it but I don't think I did an adequate job of it! Ha Ha. Saw your name, wish I could have seen your face. Soon!

From: Michael Dicke <mdicke@fenwick.com>
Sent: Wednesday, January 26, 2022 7:02 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Another Views from the Top and...

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.

....another year of everyone ganging up on the US Attorney and you not having to answer too many hardball questions Although I would have answered the crypto question differently, obviously

Great job.

Mike

Mike Dicke
Partner (b)(6) Admitted to practice in California.

From: Schneider, Erin
To: Winkler, Monique; Lee, Jennifer J.
Subject: RE: (b)(6)
Date: Tuesday, February 22, 2022 2:46:58 PM

Agree!

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Tuesday, February 22, 2022 11:30 AM
To: Lee, Jennifer J. (b)(6) @sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(6)

Are both great! They did great with the updates – enough information, but not too much!

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6) @sec.gov

From: Schneider, Erin
To: McGuire, Margaret S.
Subject: RE: Anything you need for GAO?
Date: Thursday, March 24, 2022 12:10:57 PM

Are we going to be on the phone or video?

From: McGuire, Margaret S. (b)(6) @SEC.GOV>
Sent: Thursday, March 24, 2022 8:32 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Anything you need for GAO?

Please let me know if you need any addl info, or if you are all set. Thanks again (and a million times) for doing this call ☺

Margaret S. McGuire

Senior Counsel to the Director, and

Chief, Financial Reporting and Audit Group

Division of Enforcement

U.S. Securities and Exchange Commission

(b)(6) *@sec.gov*

From: Schneider, Erin
To: Hershaft, Michael
Subject: RE: Availability for GAO Prep
Date: Thursday, March 17, 2022 2:04:02 PM

Steph and M both start early. Not sure about Jill

From: Hershaft, Michael (b)(6) @SEC.GOV>
Sent: Thursday, March 17, 2022 10:58 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Availability for GAO Prep
I'll try to work with Monday just need to see Margaret's availability. How early can you start PT in the am? Thanks.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, March 17, 2022 1:57 PM
To: Hershaft, Michael (b)(6) @SEC.GOV>
Subject: Re: Availability for GAO Prep
I can free up my noon to 130 and 200 onward. Pacific time. If that helps

Sent from my iPhone

> On Mar 17, 2022, at 10:48 AM, Hershaft, Michael (b)(6) @sec.gov> wrote:
>
> Hi Erin,
> Margaret and I would like to schedule a prep session with you, Monique and Jill on Monday or Tuesday before Thursday's entrance conference. Availability looks very tight but is there any chance you can free up 930-1030 am PT on Tuesday 3/22? If not, you appear to have some openings on Monday that I'll try to work others around.
> Thanks!

From: Schneider, Erin
To: (b)(6); Winkler, Monique
Subject: RE: Bloomberg on Musk"s Attorney"s claim
Date: Tuesday, February 22, 2022 11:09:46 AM

(b)(5)

From: (b)(6)@SEC.GOV>
Sent: Tuesday, February 22, 2022 8:09 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6)@sec.gov>
Subject: Bloomberg on Musk's Attorney's claim

(b)(5)

(b)(5)

(b)(6)

Division of Enforcement

U.S. Securities and Exchange Commission

(b)(6)*@sec.gov*

From: Schneider, Erin
To: Levenson, Paul; #Regional Directors
Subject: RE: Bulk Discount for Plaques?
Date: Friday, March 4, 2022 5:52:02 PM

WOWWWWWWWWWWWWWWWWWWWWWWWWWWW! This is fabulous. Congratulations Paul!!!!

From: Levenson, Paul <(b)(6) @SEC.GOV>
Sent: Friday, March 4, 2022 2:51 PM
To: #Regional Directors (b)(6) @SEC.GOV>
Subject: Bulk Discount for Plaques?

I'm afraid I can't give you guys a month off from defections . . . but I'm actually very excited about this.

Paul G. Levenson
Director, Boston Regional Office
United States Securities and Exchange Commission
33 Arch Street, 23rd Floor
Boston, MA 02110
(b)(6)

From: U.S. District Court for the District of Massachusetts <uscourts@updates.uscourts.gov>
Sent: Friday, March 04, 2022 4:43 PM
To: Levenson, Paul (b)(6) @SEC.GOV>
Subject: USDC-MA Press Release: Paul G. Levenson Selected to be a U.S. Magistrate Judge in the District of Massachusetts

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UNITED STATES DISTRICT COURT
for the
DISTRICT OF MASSACHUSETTS

ROBERT M. FARRELL
Clerk of Court
www.mad.uscourts.gov

UNITED STATES DISTRICT COURT
DISTRICT OF MASSACHUSETTS
Office of the Clerk
1 Courthouse Way
Boston, MA 02210

PRESS RELEASE

March 4, 2022

Paul G. Levenson Selected to be a U.S. Magistrate Judge in the District of Massachusetts

The Judges of the United States District Court for the District of Massachusetts have selected Paul G. Levenson to be a magistrate judge, subject to the required background investigation. When appointed, Mr. Levenson will sit in Boston.

Mr. Levenson began his legal career as a Law Clerk for the Honorable Stanley J. Weigel in the U.S. District Court for the Northern District of California. Following his clerkship, he worked in private practice as an Associate at Kaye Scholer Fierman Hays & Handler LLP and then Gibson, Dunn & Crutcher LLP. In 1989, he joined the Office of the United States Attorney for the District of Massachusetts. As an Assistant U.S. Attorney, he worked in the Civil and then Criminal divisions, the last six years of service as the Chief of the Economic Crimes Unit. In 2013, he joined the Securities and Exchange Commission as Regional Director, supervising a staff of 170 professionals in six New England states.

Chief Judge F. Dennis Saylor IV said of the selection: "Paul Levenson has extensive experience and a strong reputation for being a thoughtful, intelligent, and fair lawyer. We are delighted to welcome him as a new colleague on our court."

Mr. Levenson received a BA in Social Studies from Harvard College. He is a graduate of Harvard Law School.

(Contact: Robert M. Farrell, Clerk, U.S. District Court, District of Massachusetts, 617-748-9165)

USDC-MA Media Relations ***media@mad.uscourts.gov***

The mission of the USDC-MA Clerk's Office is to provide access to an impartial forum for the resolution of disputes through prompt service to the Court, members of the bar, and the public.

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: (b)(5)
Date: Wednesday, February 23, 2022 7:16:38 PM

Nothing jumps out at me – looks fine

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Wednesday, February 23, 2022 12:05 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: (b)(5)

(b)(5)

From: Eme, Thomas J. (b)(6) @sec.gov>
Sent: Wednesday, February 23, 2022 8:46 AM
To: Winkler, Monique <(b)(6) @sec.gov>
Cc: Buchholz, Steven (b)(6) @sec.gov>
Subject: FW: (b)(5)

Hi Monique, following up on this.

From: (b)(6)
Sent: Tuesday, February 15, 2022 9:18 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique <(b)(6) @sec.gov>
Cc: (b)(6) @sec.gov>; (b)(6) @SEC.GOV>
Subject: (b)(5)

Erin and Monique,

(b)(5); (b)(6)

From: Schneider, Erin
To: Uclusin, Wilda A.
Subject: RE: Can you chat now?
Date: Thursday, January 13, 2022 1:18:01 PM

Yes! You can just call my office phone (b)(6)

From: Uclusin, Wilda A. (b)(6) @sec.gov>
Sent: Thursday, January 13, 2022 10:11 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Can you chat now?
If so, what number can I call you at?

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: Case from SO meeting
Date: Friday, February 18, 2022 3:18:41 PM

I was – but honestly can't remember anything important. I would reach out to (b)(6) . . . .

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Friday, February 18, 2022 12:16 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: Case from SO meeting

Were you on yesterday? For some reason I had it in my mind that it was cancelled and missed it. If not, I'll reach out to (b)(6)

> **From:** Wood, Zachary (b)(6) @SEC.GOV>
> **Sent:** Friday, February 18, 2022 11:50 AM
> **To:** #ENF Senior Staff (b)(6) @sec.gov>
> **Subject:** Case from SO meeting
>
> Good afternoon all – please find attached the case (b)(6) discussed at yesterday's SO meeting. Thank you, and have a great weekend. - ZW

From: Schneider, Erin
To: Kahl, Daniel
Subject: RE: Chat re OIG/SFRO
Date: Friday, February 18, 2022 11:42:29 AM

(b)(6) ok and will be there

From: Kahl, Daniel (b)(6) @SEC.GOV>
Sent: Friday, February 18, 2022 8:18 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Chat re OIG/SFRO

(b)(6) – dealing with (b)(6). think (b)(6) has some flexibility, but just make sure its optional for (b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, February 18, 2022 10:42 AM
To: Kahl, Daniel (b)(6) @SEC.GOV>
Subject: RE: Chat re OIG/SFRO

(b)(6) ccepted my invite. But I feel like (b)(6). I'm going to check in with (b)(6)

From: Kahl, Daniel (b)(6) @SEC.GOV>
Sent: Friday, February 18, 2022 6:25 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Chat re OIG/SFRO

Yes, please. Think it makes sense for continuity purposes.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, February 17, 2022 1:54 PM
To: Kahl, Daniel (b)(6) @SEC.GOV>
Subject: FW: Chat re OIG/SFRO

Want me to reschedule so (b)(6) can attend or go forward?

From: Thompson, Joy G. (b)(6) @SEC.gov>
Sent: Thursday, February 17, 2022 10:53 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Automatic reply: Chat re OIG/SFRO

I am out of the office this afternoon and tomorrow,with limited access to email. However, I will be checking email occasionally and will respond when I return or sooner. Thanks very much!
Joy Thompson

From: Schneider, Erin
To: Gibson, Kelly L. (PLRO)
Subject: RE: Chat?
Date: Wednesday, January 19, 2022 4:06:31 PM

Sigh. I hate this subject line. I've got a flexible window between 2 and 3 my time.

From: Gibson, Kelly L. (PLRO) (b)(6) [redacted]@sec.gov>
Sent: Wednesday, January 19, 2022 12:38 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Chat?

Hi Erin,

Do you have a couple of minutes today or tonight to chat?

Kelly

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: (b)(6)
Date: Friday, March 4, 2022 1:55:48 PM

That's great!

-----Original Message-----
From: Winkler, Monique (b)(6) @sec.gov>
Sent: Friday, March 4, 2022 10:54 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject (b)(6)

Forgot to tell you that (b)(6) also said that (b)(6) told (b)(6) really likes working with (b)(6)

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: Closing Entries - 1/14/2022
Date: Wednesday, January 19, 2022 5:02:56 PM

Thanks!

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Wednesday, January 19, 2022 2:01 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Fwd: Closing Entries - 1/14/2022

Sent from my iPhone

Begin forwarded message:

> **From:** "Boodoo, Crystal" (b)(6) @sec.gov>
> **Date:** January 19, 2022 at 1:59:33 PM PST
> **To:** "Winkler, Monique" (b)(6) @sec.gov>
> **Subject: RE: Closing Entries - 1/14/2022**
>
> Hi Monique –
> Thanks so much. I'm having a call with (b)(6) tomorrow to discuss what will happen with the role given (b)(6) . (b)(is optimistic it will continue.
> Erin can mention it. It was just an honor to even be selected!
> Thanks,
> Crystal
>
> **From:** Winkler, Monique (b)(6) @sec.gov>
> **Sent:** Wednesday, January 19, 2022 1:56 PM
> **To:** Boodoo, Crystal (b)(6) @SEC.GOV>
> **Subject:** Fwd: Closing Entries - 1/14/2022
> Congratulations on the (b)(6) ! I am so excited to see this. I really hope (b)(6) role will be filled by this fall.
> Are you ok if Erin mentions this in her Friday email to the office?
> Monique
>
> Begin forwarded message:
>
> > **From:** "Huchro, Brian" (b)(6) @sec.gov>
> > **Date:** January 19, 2022 at 11:28:36 AM PST
> > **To:** "Winkler, Monique" (b)(6) @sec.gov>, "Lee, Jennifer J." (b)(6) @sec.gov>
> > **Subject: FW: Closing Entries - 1/14/2022**
> >
> > Hi All,

In case you were unaware, (b)(6) was recently selected to take on a visible additional duty as (b)(6) !! This is great for (b)(6) as well as SFRO, at least in my mind. So, in the spirit of collegiality, I am sharing this great news. I will defer to you whether you want to pass to Erin for inclusion in her Friday office email.
For more info, click the link from Matt Jacques in the email below and scroll to page 2.
Thanks. Brian

From: Roscigno, John (b)(6) @SEC.GOV>
Sent: Tuesday, January 18, 2022 1:19 PM
To: Huchro, Brian (b)(6) @SEC.GOV>
Subject: FW: Closing Entries - 1/14/2022

John Roscigno
U.S. Securities & Exchange Commission
San Francisco Regional Office
44 Montgomery St., Ste 2800
San Francisco, CA 94104
(b)(6) **(direct)**
(415) 705-2500 (main)

From: Jacques, Matthew (b)(6) @SEC.GOV>
Sent: Thursday, January 13, 2022 6:32 PM
To: Jacques, Matthew (b)(6) @SEC.GOV>
Subject: Closing Entries - 1/14/2022

ENF Accountants –
The latest edition of Closing Entries can be found here.
Have a great weekend!
Matt

Matt Jacques
Chief Accountant
Division of Enforcement
U.S. Securities and Exchange Commission
100 F Street NE
Washington, DC 20549
O: (b)(6)
M:
(b)(6) @sec.gov

From: Schneider, Erin
To: Ro, Elena
Subject: RE: Commissioner Pierce Visit
Date: Friday, February 11, 2022 12:36:39 PM

Yes please

From: Ro, Elena (b)(6) @sec.gov>
Sent: Friday, February 11, 2022 9:36 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: Commissioner Pierce Visit

So I'm going to cc you and respond that she can come, yes?

From: Dickman, Brienne (b)(6) @SEC.GOV>
Sent: Friday, February 11, 2022 9:28 AM
To: Ro, Elena (b)(6) @sec.gov>
Subject: Commissioner Pierce Visit

Happy Friday Elena,

I understand there are probably a number of people who would like to attend Commissioner Pierce's visit Tuesday and not a lot of space. If there happens to be room for 1, would it be possible for me to attend in person?

Thanks,

Brienne

From: Schneider, Erin
To: Bustillo, Eric I.
Subject: RE: Commissioner Visit
Date: Friday, February 4, 2022 3:45:23 PM

Ah – got it. She is coming into our office and doing a Town Hall. I told her counsel not to expect many people to show up live and I think she understands that. I also warned people that if they did intend to show up live that they need to tell me so I can manage the flow of people.

From: Bustillo, Eric I. (b)(6) @SEC.GOV>
Sent: Friday, February 4, 2022 12:21 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Commissioner Visit

Hey Erin,

When Commissioner Peirce was in Miami last November (she was here for a conference), we just got together for lunch and she did not come into the office or have a town hall with the staff. Because of COVID, she knew that staff was working remotely and not in the office. As such, I don't have any Qs that I can share with you. Happy to talk to you if you have any other questions. I am curious, is she coming into your office and doing a town hall for your folks. If yes, do you expect many people to come in for it.

All is well here. Very busy as I am sure you are as well.

Have a good weekend.

Eric

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, February 3, 2022 7:40 PM
To: Bustillo, Eric I. (b)(6) @SEC.GOV>
Subject: Commissioner Visit

Hi there – sounds like Commissioner Peirce was in your office back in November? She's coming to visit us on 2/15. Would you mind sharing any Qs you used for the Town Hall just so that I have a starting point (I am sure my office will want to ask a ton of crypto-related questions . . . .)? I would greatly appreciate it!!!

Hope all is well with you?

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Schroeder, Sarah
Subject: RE: Complaint (002).pdf
Date: Thursday, January 20, 2022 1:29:23 PM

I'm so sorry. I'm in the office today and it feels like my computer is sending a bunch of old emails . . . . . .

From: (b)(6) @ftc.gov>
Sent: Thursday, January 20, 2022 10:04 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Complaint (002).pdf

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Thank you the info.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, January 20, 2022 9:19 AM
To: (b)(6)
Subject: Complaint (002).pdf

Thanks,

Erin

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Jindra, Jan
Subject: RE: Congrats!
Date: Wednesday, February 16, 2022 3:11:05 PM

Ha ha will do!

From: Jindra, Jan (b)(6) @SEC.GOV>
Sent: Wednesday, February 16, 2022 12:09 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Congrats!

I would really appreciate it if you could add (b)(6) that's what I actually meant but my eyes did not catch the omission.

Jan Jindra, Ph.D.
Assistant Director
Office of Litigation Economics
Division of Economic and Risk Analysis
U.S. Securities and Exchange Commission
44 Montgomery Street 2800, San Francisco, CA 94104
Office: (b)(6)
Cell: (b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, February 16, 2022 3:07 PM
To: Jindra, Jan (b)(6) @SEC.GOV>
Subject: RE: Congrats!

Yes! THANK YOU!

From: Jindra, Jan (b)(6) @SEC.GOV>
Sent: Wednesday, February 16, 2022 11:41 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Congrats!

=) Is this what you were looking for?

Jan is now one of the four Assistant Directors in the Office of Litigation Economics. He is an AD for newly formed group internally referred to as OLE #4. The group is geographically spread out (NY, DC, Boston, and (hopefully soon) LA) which creates unique challenges and opportunities. Jan will still continue to be involved in investigations and litigation as needed by ENF staff.

Jan Jindra, Ph.D.
Assistant Director
Office of Litigation Economics
Division of Economic and Risk Analysis
U.S. Securities and Exchange Commission
44 Montgomery Street 2800, San Francisco, CA 94104
Office: (b)(6)
Cell: (b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, February 16, 2022 2:06 PM
To: Jindra, Jan (b)(6) @SEC.GOV>

Subject: RE: Congrats!

Awesome. Will you, um, give some detail about (b)(6) ? Hee Hee.

From: Jindra, Jan (b)(6) @SEC.GOV>
Sent: Wednesday, February 16, 2022 10:31 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Congrats!

Thank you! And I'm happy to be mentioned in the SFRO Friday newsletter/email!

Jan Jindra, Ph.D.
Assistant Director
Office of Litigation Economics
Division of Economic and Risk Analysis
U.S. Securities and Exchange Commission
44 Montgomery Street 2800, San Francisco, CA 94104
Office: (b)(6)
Cell: (b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, February 16, 2022 1:18 PM
To: Jindra, Jan (b)(6) @SEC.GOV>
Subject: Congrats!

I heard that you have a promotion! I hadn't heard that. CONGRATULATIONS!! Would you mind if I let the office know in my Friday email? If you'd prefer I don't – that's fine too – many people ask me not to email about them!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Gregus, Daniel
Subject: RE: Cost for (b)(6) plaque
Date: Tuesday, March 1, 2022 1:11:41 PM

Thank you!

From: Gregus, Daniel (b)(6) @SEC.GOV>
Sent: Tuesday, March 1, 2022 9:35 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Cost for (b)(6) plaque
Erin,
I was out last week, so sent the funds today. Thanks again for getting this. Congratulations and good luck on your future endeavors.
DRG

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, February 18, 2022 3:55 PM
To: Jones, Nekia (b)(6) @SEC.GOV>; Levenson, Paul (b)(6) @SEC.GOV>; Bustillo, Eric I. (b)(6) @SEC.GOV>; Gregus, Daniel (b)(6) @SEC.GOV>; Best, Richard R (b)(6) @SEC.GOV>; Gottschall, Kurt L. (b)(6) @SEC.GOV>; Peavler, David L. (b)(6) @SEC.GOV>; Layne, Michele W. (b)(6) @sec.gov>
Subject: Cost for (b)(6) plaque
Hi – many thanks to Eric for reminding me to send out information about (b)(6) plaque. (b)(6)
(b)(6)
(b)(6)
(b)(6) If you need the phone number – it's (b)(6)
(b)(6) (by check)
Thanks – have a great long weekend everyone!
Erin
Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: Do you know where (b)(6) is going?
Date: Tuesday, January 4, 2022 3:07:01 PM

No. I spoke with (b)(6) maybe 2 3 weeks ago and (b)(6) wasn't telling folks yet. I know (b)(6) knows though . . . .

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Tuesday, January 4, 2022 12:06 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Do you know where (b)(6) is going?

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6) @sec.gov

From: Schneider, Erin
To: (b)(6)
Subject: RE: [EXTERNAL]
Date: Tuesday, January 4, 2022 11:39:04 AM

Yep I'll try you around 930 – have a few things before then.

From: (b)(6)
Sent: Tuesday, January 4, 2022 8:35 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: [EXTERNAL]

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.

Ha! Do you have time to connect today? I'm generally free before 1.

Sent from my iPhone

> On Jan 4, 2022, at 7:43 AM, Schneider, Erin <schneidere@sec.gov> wrote:
>
> I've been thinking about ALL of your trials recently.....
>
> Sent from my iPhone
>
>> On Jan 3, 2022, at 9:30 PM, (b)(6) (b)(6) wrote:
>>
>> 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.
>>
>> Thanks Erin. Indeed. I hope we can connect soon. I've been thinking a lot about (b)(6) recently!
>>
>> Sent from my iPhone
>>
>>> On Jan 3, 2022, at 5:13 PM, Schneider, Erin <schneidere@sec.gov> wrote:
>>>
>>> I am sure your phone hasn't stopped ringing so I will wait to call you. But what a great day. Congratulations.
>>> *Erin E. Schneider*
>>> Regional Director
>>> United States Securities & Exchange Commission

44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Ta, Thu Bao
Subject: RE: (b)(6)
Date: Thursday, February 17, 2022 4:17:04 PM

Ha ha I know. (b)(6)

From: Ta, Thu Bao (b)(6) @SEC.GOV>
Sent: Thursday, February 17, 2022 1:15 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: (b)(6)

Thanks. (b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, February 17, 2022 1:14 PM
To: Ta, Thu Bao (b)(6) @SEC.GOV>
Subject: RE: (b)(6)

Thank you and (b)(6) !!!

From: Ta, Thu Bao (b)(6) @SEC.GOV>
Sent: Thursday, February 17, 2022 1:07 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(6)

Hi Erin,

I forgot to mention – (b)(6)

(b)(6)

Thanks.

Thu

From: Schneider, Erin
To: (b)(6)
Subject: RE: caller
Date: Tuesday, March 8, 2022 3:58:12 PM

Thanks (b)(6)

From: (b)(6) @SEC.GOV>
Sent: Tuesday, March 8, 2022 12:57 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: caller

HI Erin,

(b)(6) phoned for you.
(b)(6)

Thanks,
(b)(6)

Administrative Assistant
U.S. Securities And Exchange Commission (SEC)
(b)(6) @sec.gov | ☎: 415 705 2500

From: Schneider, Erin
To: (b)(6)
Subject: Re:
Date: Wednesday, March 23, 2022 1:08:57 PM

great, thanks. I have another interview starting at 11

From: (b)(6)
Sent: Wednesday, March 23, 2022 9:47:42 AM
To: Schneider, Erin
Subject: RE:
I will be down at 10:00 to check this out.

-----Original Message-----
From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, March 23, 2022 8:49 AM
To: Zhen, Jerry <(b)(6) @sec.gov>; Tabrizi, Kian (b)(6) @sec.gov>; Ro, Elena (b)(6) @sec.gov>; (b)(6) (b)(6) @SEC.GOV>
Subject:

Hi I'm docked in but not connecting to outlook for some reason. It says disconnected. I'm unfortunately in an interview at 9

Sent from my iPhone

From: Schneider, Erin
To: Bruno, Candice
Subject: Re: Adding you to Executive Committee meetings
Date: Monday, January 31, 2022 10:56:52 AM

Thanks so much Candice

Sent from my iPhone

> On Jan 31, 2022, at 7:50 AM, Bruno, Candice (b)(6) @sec.gov> wrote:
>
> Good morning, Erin,
> You will be added to the Executive Committee meetings while you serve as Acting Associate Regional Director for EXAMS.
> You'll see an invitation from Webex.
> Regards,
> Candice Bruno
> Division of Examinations
> Desk: (b)(6) | Mobile: (b)(6)
> Email: (b)(6) @sec.gov

From: Schneider, Erin
To: Best, Richard R
Subject: Re: Brief Call
Date: Wednesday, March 23, 2022 8:24:45 PM

Ha ha I've been hearing rumors…. Acting or Perm?

Sent from my iPhone

> On Mar 23, 2022, at 4:50 PM, Best, Richard R (b)(6) @sec.gov> wrote:
>
> Yes! News travels fast…
>
> Sent from my iPhone
>
> > On Mar 23, 2022, at 7:20 PM, Schneider, Erin <SchneiderE@sec.gov> wrote:
> >
> > Are you prepping me for (b)(6) press release? (Ha Ha)
> >
> > **From:** Best, Richard R (b)(6) @SEC.GOV>
> > **Sent:** Wednesday, March 23, 2022 4:12 PM
> > **To:** Schneider, Erin <SchneiderE@sec.gov>
> > **Subject:** Re: Brief Call
> > I had to leave. Are you around in the morning?
> >
> > Sent from my iPhone
> >
> > > On Mar 23, 2022, at 6:11 PM, Schneider, Erin <SchneiderE@sec.gov> wrote:
> > >
> > > Yep – are you still working?
> > >
> > > **From:** Best, Richard R (b)(6) @SEC.GOV>
> > > **Sent:** Wednesday, March 23, 2022 2:37 PM
> > > **To:** Schneider, Erin <SchneiderE@sec.gov>
> > > **Subject:** Brief Call
> > > Have time for a brief call?
> > > Rich

From: Schneider, Erin
To: LaMarca, Susan F.
Cc: Winkler, Monique
Subject: Re: Chief Counsel Selection
Date: Friday, January 28, 2022 4:43:50 PM

(b)(6)

Sent from my iPhone

> On Jan 28, 2022, at 1:12 PM, LaMarca, Susan F. (b)(6) @sec.gov> wrote:
>
> (b)(7)(C)
>
> **From:** Grewal, Gurbir (b)(6) @SEC.GOV>
> **Sent:** Friday, January 28, 2022 12:26 PM
> **To:** #ENF HO and Regions Employees (b)(6) @SEC.GOV>; #ENF Contractors (b)(6) @SEC.GOV>
> **Subject:** Chief Counsel Selection
> All –
> I am pleased to announce the selection of Samuel Waldon as Chief Counsel for Enforcement and head of the Office of the Chief Counsel. We will follow up with an exact start date for Sam in the next several weeks, but we expect him to join us later next month.
> Many of you know Sam from his prior positions at the SEC. From 2010-2018, Sam served as Assistant Chief Counsel to the Enforcement Division. He also previously worked as an Enforcement staff attorney. Sam will be joining us from Proskauer Rose, where he is a partner in the Litigation Department and a member of the Asset Management Litigation, Securities Litigation, and White Collar Defense and Investigations Groups. I am excited to welcome Sam back to the SEC and am confident that his experience and practical perspective will prove to be an asset for not just the Enforcement Division, but our entire agency.
> I would also like to take this opportunity to thank Charlotte Buford and Jonathan Hecht for serving as Acting Co-Chief Counsels for Enforcement. The Enforcement program has benefited enormously from their guidance, and I am looking forward to continuing to work closely with them.
>
> Best,
> Gurbir

U.S. SECURITIES AND EXCHANGE COMMISSION

MCMXXXIV

From: Schneider, Erin
To: Winkler, Monique
Subject: Re: Congratulations
Date: Thursday, January 20, 2022 10:34:38 AM

That's great!

Sent from my iPhone

> On Jan 20, 2022, at 6:33 AM, Winkler, Monique (b)(6) @sec.gov> wrote:
>
> Begin forwarded message:
>
> > **From:** "Gensler, Gary" (b)(6) @sec.gov>
> > **Date:** January 19, 2022 at 7:05:02 PM PST
> > **To:** (b)(6) @sec.gov>, (b)(6) (b)(6) @sec.gov>, (b)(6) @sec.gov>, (b)(6) (b)(6) @sec.gov>
> > **Cc:** "Grewal, Gurbir" (b)(6) @sec.gov>, (b)(6) (b)(6) @sec.gov>, (b)(6) " (b)(6) @sec.gov>, (b)(6) (b)(6) @sec.gov>, "Winkler, Monique" (b)(6) @sec.gov>, (b)(6) (b)(6) @sec.gov>, (b)(6) " (b)(6) @sec.gov>, (b)(6) @sec.gov>
> > **Subject: Congratulations**
> >
> > Dear (b)(6)
> >
> > (b)(6)
> >
> > Thank you,
> > Gary

From: Schneider, Erin
To: Winkler, Monique
Subject: Re: change of plans - I will be working Friday and Monday. eom.
Date: Wednesday, January 26, 2022 3:59:19 PM

Oh no!!!

Sent from my iPhone

> On Jan 26, 2022, at 11:54 AM, Winkler, Monique (b)(6) @sec.gov> wrote:
>
> *Monique C. Winkler*
> Associate Regional Director, Enforcement
> U.S. Securities and Exchange Commission
> 44 Montgomery Street, Suite 2800
> San Francisco, California 94104-4691
> Telephone: (b)(6)
> Fax: 415.705.2500
> (b)(6) @sec.gov

From: Schneider, Erin
To: Ro, Elena; Winkler, Monique
Subject: Week3
Date: Friday, March 25, 2022 10:02:42 PM

Will one of you communicate this to the office next week?

"We only had TWO winners of Week 3's (and the final) WhereAmI! The correct answer was the 25^{th} floor corridor leading out from the lunchroom. I had a few "26^{th} floors" and one "28^{th} floor." But it is in fact the 25^{th} floor. Congratulations to (b)(6) and (b)(6) ! Prizes are in the mail!"

Erin E. Schneider
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, CA 94104
415.705.2500
Schneidere@sec.gov

From: Schneider, Erin
To: Gibson, Kelly L. (PLRO)
Subject: beautiful (really)
Date: Thursday, February 10, 2022 2:12:32 PM

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: (b)(5)
Date: Wednesday, February 23, 2022 7:16:38 PM

Nothing jumps out at me – looks fine

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Wednesday, February 23, 2022 12:05 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: (b)(5)

(b)(5)

From: (b)(6) @sec.gov>
Sent: Wednesday, February 23, 2022 8:46 AM
To: Winkler, Monique (b)(6) @sec.gov>
Cc: (b)(6) @sec.gov>
Subject: FW: (b)(5)

Hi Monique, following up on this.

From: (b)(6)
Sent: Tuesday, February 15, 2022 9:18 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6) @sec.gov>
Cc: (b)(6) @sec.gov>; (b)(6) @SEC.GOV>
Subject: (b)(5)

Erin and Monique,

(b)(5)

(b)(6)

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: Gensler call
Date: Friday, March 18, 2022 12:01:40 PM

Nope – figure you're the face of SFRO now. Unless you want me to – which I definitely will.

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Friday, March 18, 2022 9:00 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Gensler call

Do you want to do the intro?

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6) @sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: Glad I tuned in for my first National Exams meeting :)
Date: Wednesday, March 2, 2022 2:19:11 PM

It's a lot.

From: Winkler, Monique (b)(6)@sec.gov>
Sent: Wednesday, March 2, 2022 11:17 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Glad I tuned in for my first National Exams meeting :)
Another surprise…

> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Wednesday, March 2, 2022 11:16 AM
> **To:** Winkler, Monique (b)(6)@sec.gov>
> **Subject:** RE: Glad I tuned in for my first National Exams meeting :)
> Ha ha ha
>
> **From:** Winkler, Monique (b)(6)@sec.gov>
> **Sent:** Wednesday, March 2, 2022 11:06 AM
> **To:** Schneider, Erin <SchneiderE@sec.gov>
> **Subject:** Glad I tuned in for my first National Exams meeting :)
> *Monique C. Winkler*
> Associate Regional Director, Enforcement
> U.S. Securities and Exchange Commission
> 44 Montgomery Street, Suite 2800
> San Francisco, California 94104-4691
> Telephone:(b)(6)
> Fax: 415.705.2500
> (b)(6)@sec.gov

From: Schneider, Erin
To: Vasquez, Carlos
Subject: RE: Good luck out there!
Date: Wednesday, January 26, 2022 8:26:18 PM

I'm not even there . . . .

From: Vasquez, Carlos (b)(6) @sec.gov>
Sent: Wednesday, January 26, 2022 5:26 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Good luck out there!

I'm in a Please Wait holding pen

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, January 26, 2022 5:25 PM
To: Vasquez, Carlos (b)(6) @sec.gov>
Subject: RE: Good luck out there!

Ha ha thank you. I currently can't get on the Zoom, that is not helpful.

From: Vasquez, Carlos (b)(6) @sec.gov>
Sent: Wednesday, January 26, 2022 5:24 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Good luck out there!

Carlos Vasquez
Supervisory Counsel for Outreach and Intake
U.S. Securities and Exchange Commission
44 Montgomery St., Ste. 2800
San Francisco, CA 94104
(b)(6)

From: Schneider, Erin
To: McTigue, Serafima
Subject: RE: Good Morning (almost Afternoon) SFRO!
Date: Monday, March 7, 2022 6:00:42 PM

Thanks Sema. I'm so sorry to hear about (b)(6)
(b)(6)

From: McTigue, Serafima (b)(6) @SEC.GOV>
Sent: Friday, March 4, 2022 2:22 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Good Morning (almost Afternoon) SFRO!
(b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, March 4, 2022 11:28 AM
To: #SFRO\EVERYONE (b)(6) @SEC.GOV>
Subject: Good Morning (almost Afternoon) SFRO!

Good Morning SFRO –

We've got rain here in the East Bay! Amazing!

I know that many of you, like myself, continue to follow the news with alarm, dread, and sadness. Thanks to the suggestion of one our colleagues, I'll talk a little bit at our all-hands meeting about what the agency is doing in light of the Ukrainian/Russian conflict. I know some of you have been involved in doing outreach to some of our registrants who might be impacted. But I also want to encourage all of you to reach out to your friends, family, colleagues, and community who are and will continue to be impacted by the events unfolding overseas. I'm very much looking forward to seeing/hearing everyone next week.

It otherwise has been a bit of a quiet week, save for the news that Dan Kahl, the Acting Director for EXAMs, will be leaving at the end of the month. And of course the news about the pay raises that will appear in folks' paychecks in the 9th pay period, which is typically the last week in April.

ENF Director Grewal, **Monique Winkler**, and I all spoke at the ABA White Collar conference this week. It was the largest in-person event I've spoke at since the pandemic began and it was nice to see some of our former colleagues in the audience. Gurbir reiterated many of the themes he's spoken about in the past including holding individuals accountable, making our remedies count (suggesting past comps are just a starting point), and incentivizing robust compliance (by bringing cases against folks who are not adhering to their books and records policies and requirements). I spoke about App Annie, our continued focus on Silicon Valley, and why we also think negligence and books and records cases are important. Monique spoke about ESG (there continues to be a lot of focus on this area and I'm thrilled that both the EXAMs and ENF programs are devoting resources to those issues). As I mentioned to the ENF folks earlier this week, we'll get Gurbir to do a Town Hall soon so that folks can get to know him better.

We also held our quarterly Teacher Regulatory Roundtable with our regulatory partners – thanks to (b)(6) for organizing.

As promised – I've included a picture of the office (thank you to (b)(6) because I keep forgetting to take one when I'm there!) for those of you who miss it. For anyone who wants to play – I'll offer a little something to the first five folks who can correctly answer this question: Where am I? (Or, more accurately, where is Elena?). And yes, folks, we're starting easy. It will get harder.

Upcoming Dates:

- March 8, 2022 from 9:30-10:30: All-Hands Meeting
- March 15, 2022 from 9-12:30: BaySEC
- March 31: Last Day to Certify Holdings

Have a great weekend everyone –

Erin

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Chee, John C.
Subject: RE: Good Morning SFRO!
Date: Friday, March 11, 2022 4:19:35 PM

Can you be more specific??? Hee hee

From: Chee, John C. (b)(6)@sec.gov>
Sent: Friday, March 11, 2022 12:20 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Good Morning SFRO!

Hi Erin – I believe the photo is from the 28th floor testimony room.
Thanks.
John

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, March 11, 2022 11:55 AM
To: #SFRO\EVERYONE (b)(6)@SEC.GOV>
Subject: Good Morning SFRO!

Good Morning SFRO –

I am very much looking forward to our **7th annual BaySEC** event happening next Tuesday, March 15. I'm sure most of us can't wait until this event moves back to in-person but the huge advantage of doing it virtually is that many more people are able to attend – hope many of you are able to do so.
It was nice to come together as an office earlier this week for the all-hands meeting. I hope all of you enjoyed the talk about the Holmes trial – many thanks to (b)(6) and **Monique Winkler** for putting together the Q&A. We'll try to do this again after the Balwani trial. I also hope each program enjoyed hearing about some of the exam initiatives and ENF cases that your colleagues have been working on. Please send ideas for future all-hands meetings to Elena, Monique, and (b)(6)
In Commission news, the Commission voted to propose new cyber risk, governance, and reporting rules for public companies this week – check out the proposal here.
In staffing news, applications are in and closed for both the EXAMs Associate and the two open ENF spots. Finally, I wanted to say congratulations and thank you to (b)(6) or agreeing to join (b)(6) as co-chair of SFRO's Diversity Committee. As you know, this group was been incredibly active and thoughtful in bringing important and fun events to SFRO. Thank you (b)(6)!
Congratulations to (b)(6) and (b)(6) for being one of the first five people to respond to the last Where am I? quiz. Attached above is Week Two of Where am I? **BE SPECIFIC**. A generic answer will not suffice. First five to respond win.
I hope everyone has a great weekend – weather is supposed to be amazing!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Hauger, Craig W.
Subject: Re: good time to call?
Date: Friday, March 25, 2022 12:06:51 PM

Hi! I'm still on Bart but will call when I get in!

Sent from my iPhone

> On Mar 25, 2022, at 9:06 AM, Hauger, Craig W. (b)(6) @sec.gov> wrote:
>
> Hi Erin,
> Would this be a good time to call?
> Thanks,
> Craig Hauger
> (b)(6)

From: Schneider, Erin
To: Mittelman, Charito; Winkler, Monique; Snyder, Kristin A.; Ro, Elena
Subject: RE: Happy 2022
Date: Wednesday, January 5, 2022 3:32:38 PM
Attachments: image001.png

I hope so too, Charito!!!!! Happy New Year!

From: Mittelman, Charito (b)(6) @SEC.GOV>
Sent: Wednesday, January 5, 2022 10:37 AM
To: Winkler, Monique (b)(6) @sec.gov>; Snyder, Kristin A. (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>
Subject: Happy 2022

Hi Monique, Kristin, Erin & Elena,

Thank you all so much for the warm Happy New Year wishes. I hope you and your families are all doing well and staying healthy in 2022. Maybe I'll be lucky enough to see you all in the office this year when it's safe for all.

All my best,

Charito

Charito A. Mittelman
Attorney-Adviser
Division of Examinations
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800 San Francisco, CA 94104
Phone (b)(6) Mobile (b)(6) |Email (b)(6) @sec.gov

www.sec.gov

SECURITIES AND EXCHANGE COMMISSION

MCMXXXIV

From: Schneider, Erin
To: Schulman, Alice
Subject: RE: Happy new year (almost)!
Date: Monday, January 3, 2022 1:47:00 PM

Hi Alice!!! So good to hear from you. I was (b)(6) so I'm sorry I didn't get back to you. I'm here all week – so just propose a time that works for you. I've been thinking about you quite a bit over the holidays.

From: Schulman, Alice (b)(6) @sec.gov>
Sent: Tuesday, December 28, 2021 7:35 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Happy new year (almost)!

Hi Erin,

Hope all is reasonable and that there's some hope of relaxation during the rest of the holidays. I'm coming up for air and I hoping that if you're "in the office" this week you might have some time for a quick chat – I miss you!! I'm out of range tomorrow except from about 12:30-2 and Thursday afternoon from 1:30-3:30 but no other commitments. But if you're taking the next few days off I'll find you next week.

Alice

Alice L. Schulman, Assistant Regional Director, Examinations
United States Securities and Exchange Commission
44 Montgomery Street, Suite 2800 | San Francisco, CA 94104
Landline (b)(6) | Mobile (b)(6) | Email (b)(6) @sec.gov

From: Schneider, Erin
To: Pendrey, Jeremy; Durham, Robert J.; Winkler, Monique
Subject: Durham Case Reviews
Date: Wednesday, February 16, 2022 11:39:42 AM

Just FYI that I have a weekly meeting with the EXAM ARDs (to keep in touch while they don't have an Associate) that begins at 1030 – so I will drop the QReview to join that meeting.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Koretke, Charles
Subject: EASY
Date: Wednesday, February 16, 2022 8:16:22 PM

Hi Chuck – the EXAM team here is still not seeing me as an option to approve an ERA exam in EASY. Can we fix this or should I just get Natasha to approve?

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Microsoft Outlook on behalf of Schneider, Erin
To: Schneider, Erin; Linvill, Michael H.; Radkar, Shanti; To, Karah
Cc: Lee, Jason H; Chen, Ellen; Newell, Walker S; Ro, Elena; (b)(6) ; Eme, Thomas J.; Marlow, Heather E.; (b)(6) ; Austin, Horace; Tashjian, Robert; Johnston, Janet L.; (b)(6) (b)(6) ; Winkler, Monique; Varholik, Steven; Kolhatkar, Rahul; Durham, Robert J.; Vasquez, Carlos; Salzmann, William; #SFRO All Exam Staff; Combs, Tracy S; Hawley, Ruth L; Fleet, Katherine A; Brannon, Nadia P; Walker, Robert (Scott); Filipp, Christina; Kim, Sallie; Maguire, Peggy; Glukhovsky, Vadim; Schneider, Kenneth P.; Adams, Jessica; Marchi, James J.; Lee, David; Purcell, Kathleen; Peso, Daniel; Heijmans, Pamela L.; Chee, John C.; Gould, Erica R.; Chappell, Jeffrey; Hefty, Andrew; Haddad, Edward G.; Hurtado, Arturo; Roeseler, Karl J.; Pease, Eric; Flanders, Ricky; Bloom, Peter D.
Subject: EES Office Hours -- Optional!

Exchange Server re-created a meeting that was missing from your calendar.

Sent by Microsoft Exchange Server

From: Schneider, Erin
To: Haddad, Edward G.
Subject: EXAMs Exec Committee meeting today
Date: Wednesday, March 2, 2022 12:37:59 PM

There is an EXAMs Exec Committee meeting today at noon. Candice said that you were on the invite list, which is great. I can't make it today because the ENF Director is here and I'm going to walk over to the ABA White Collar conference with him. Can you make it? If you can't – no worries – we can just catch up with someone else.

Erin E. Schneider
Regional Director
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San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Haddad, Edward G.; Schulman, Alice; Wilson, Stephanie; Ta, Thu Bao; Tomars, Michael
Subject: EXAMs Meeting -- 1030
Date: Wednesday, March 2, 2022 12:54:45 PM

Here's what I have on my list – feel free to add topics for our 1030!

(b)(5) [redacted]

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Ro, Elena; Diep, Janny; Zhen, Jerry
Subject: Emails still on distribution lists
Date: Wednesday, January 12, 2022 3:11:08 PM

FYI that I noticed when I sent my SFRO Everyone emails that there are a lot of folks on there that don't work here anymore. I saw (b)(6) name plus quite a few interns. Can we clean this up so that we don't have any non-working emails on our distribution lists? Maybe it could be part of our closure processes when folks leave? I would greatly appreciate it.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Greiner, Natasha (Vij)
Subject: Erin will call Natasha

Will this still work? I had a conflict come up that I should take.

From: Schneider, Erin
To: Winkler, Monique
Subject: FW: (b)(6)
Date: Thursday, February 24, 2022 8:27:29 PM

(b)(6)

-----Original Message-----
From: (b)(6) @gmail.com>
Sent: Thursday, February 24, 2022 4:09 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(6)

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.

(b)(6)

Sent from my iPhone

From: Schneider, Erin
To: Thompson, Joy G.
Subject: Favor re (b)(6)
Date: Wednesday, February 2, 2022 7:59:46 PM

Hey there – the RDs are putting together a plaque for (b)(6) from us. Do you know the month and year (I think it's (b)(6)) that (b)(6) started with the SEC? Also – do you know (b)(6) last day?
I hope (b)(6) (b)(6) ! (b)(6)
Erin

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Wilson, Stephanie; Ta, Thu Bao; Schulman, Alice; Ro, Elena; O"Toole, Matthew M.; Glukhovsky, Vadim; Davis, Tracy L.; Vasquez, Carlos
Subject: General order of speaking today
Date: Tuesday, January 25, 2022 3:05:38 PM

Hi folks – this is the general order we'll go in today. I'll say it on the webex and put it into the chat in case you forget. Thanks to all for volunteering to say a few words today.

I will kick it off, then turn it over to **Steph, Thu**, and **Alice Schulman**, then **Elena**, then **Matt O'Toole**, then **Vadim**, then **Tracy Davis,** and then **Carlos**, and then we'll open up the floor for anyone else who'd like to speak.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From:	Schneider, Erin
To:	Gottschall, Kurt L.
Subject:	Give me a ring when you have a few minutes
Date:	Monday, January 31, 2022 3:35:10 PM

From: Schneider, Erin
To: Ro, Elena
Cc: Winkler, Monique
Subject: RE: (b)(6)
Date: Thursday, February 24, 2022 12:19:12 PM

Ok!

From: Ro, Elena (b)(6) @sec.gov>
Sent: Thursday, February 24, 2022 9:18 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Winkler, Monique (b)(6) @sec.gov>
Subject: (b)(6)

Erin – if okay with you, (b)(6)
(b)(6) . Thanks!

From: Schneider, Erin
To: Koretke, Charles
Subject: RE: EXAMS Sr. Leadership - Contact List
Date: Monday, January 24, 2022 7:11:54 PM

Good here. But should delete (b)(6)

From: Koretke, Charles (b)(6) @SEC.GOV>
Sent: Monday, January 24, 2022 3:18 PM
To: #EXAMS Leadership Team (b)(6) @SEC.GOV>
Subject: EXAMS Sr. Leadership - Contact List

All,

I am updating the contact list for the EXAMS Senior Leadership Team. Included on the list are home/personal numbers in the event we need to reach you outside of business hours such as when there are significant market events or the activation of COOP.

Please review your entry and let me know of any updates you would like to make to the contact information we have for you. I will recirculate an updated list at the beginning of next week.

Please do not distribute further.

Thanks,

Chuck Koretke
Managing Executive
Division of Examinations
(b)(6)

EXAMS Associates

OFFICE	NAME	OFFICE PHONE	SEC-ISSUED CELL	PERSONAL/HOME
LARO	(b)(6)	b)(6)		
NYRO				
NYRO				
HQ				
ARO				
FWRO				
FSIO				
CHRO				
HQ				
CHRO				
HQ				
NYRO				
BRO				
HQ				
HQ				
MIRO				
HQ				
DRO				
HQ				
HQ				
NYRO				
SFRO				
EERT				
PLRO				

Regional Directors

REGION	NAME	OFFICE PHONE	SEC-ISSUED CELL	PERSONAL/HOME
ARO	JONES, NEKIA HACKWORTH	(b)(6)		
BRO	LEVENSON, PAUL			
CHRO	GREGUS, DANIEL R			
DRO	GOTTSCHALL, KURT			
FWRO	PEAVLER, DAVID			
LARO	LAYNE, MICHELE			
MIRO	BUSTILLO, ERIC			
NYRO	BEST, RICHARD			
PLRO	GIBSON, KELLY			
SLRO	*vacant*			
SFRO	SCHNEIDER, ERIN			

From: Schneider, Erin
To: (b)(6)
Cc: (b)(6)
Subject: RE: Enf Routine Exam Participation
Date: Tuesday, February 15, 2022 10:46:38 AM

I can coordinate with (b)(6)

From: (b)(6) @SEC.GOV>
Sent: Tuesday, February 15, 2022 7:20 AM
To: (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>; (b)(6) (b)(6) @SEC.GOV>
Cc: (b)(6) @SEC.GOV>
Subject: RE: Enf Routine Exam Participation

Thanks (b)(6), we can definitely coordinate with (b)(6) on this.

From: (b)(6) @SEC.GOV>
Sent: Tuesday, February 15, 2022 9:12 AM
To: Schneider, Erin <SchneiderE@sec.gov>; (b)(6) @SEC.GOV>; (b)(6) (b)(6) @SEC.GOV>
Cc: (b)(6) @SEC.GOV>
Subject: FW: Enf Routine Exam Participation

Erin, (b)(6)

Three attorneys in the AMU have indicated that, as a learning exercise, they would like to participate in an IA/IC exam. (b)(5) (b)(5) Obviously, (b)(6) can coordinate with (b)(6) in HO. Would you be willing to allow (b)(6) and (b)(6) participate in an exam in your respective regions? If so, do you want to coordinate with them or is there someone else in your region who you would designate?

Thanks,

(b)(6)

From: (b)(6) @sec.gov>
Sent: Tuesday, February 15, 2022 8:30 AM
To: (b)(6) @SEC.GOV>; (b)(6) @SEC.GOV>; (b)(6) (b)(6) (b)(6) @sec.gov>
Subject: RE: Enf Routine Exam Participation

Got it. These are the AMU folks interested:

Office	Name	Phone
CHRO	(b)(6)	(b)(6)
HO		
SFRO		

Thanks for making this happen; it'll be great for our folks,

(b)(6)

From: (b)(6) @SEC.GOV>
Sent: Tuesday, February 15, 2022 8:55 AM
To: (b)(6) @sec.gov>; (b)(6) @SEC.GOV>; (b)(6) (b)(6) @sec.gov>
Subject: RE: Enf Routine Exam Participation

Great, let's make it happen. Let me suggest that you send names and contact info to us, then we can put them in touch with the right people in the regions. Obviously, Natasha can handle logistics in HO.

(b)(6)

From: (b)(6) (b)(6) @sec.gov>
Sent: Tuesday, February 15, 2022 7:26 AM
To: (b)(6) @SEC.GOV>; Greiner, Natasha (Vij) (b)(6) @SEC.GOV>
Cc: (b)(6) @sec.gov>
Subject: Enf Routine Exam Participation

(b)(6) Natasha,

As I've previously discussed with (b)(6), we have some AMU attorneys interested in participating in a routine IA/IC exam to better understand the exam process. Specifically, we have one attorney in SFRO, one in HO, and one in CHRO. This seems to us a critical mass. What would we need to do as next steps to get these folks involved?

Thanks,

(b)(6)

Division of Enforcement
U.S. Securities and Exchange Commission
100 F Street, NE
Washington, DC 20549-5012
(b)(6)
(b)(6) @sec.gov

From: Schneider, Erin
To: (b)(6)
Subject: RE: Enforcement docs
Date: Friday, February 18, 2022 4:27:21 PM

Hey – let me call you in a sec

From: (b)(6) @SEC.GOV>
Sent: Friday, February 18, 2022 12:20 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Enforcement docs

Hi Erin,

(b)(5)

Thanks.

(b)(6)

From: Schneider, Erin
To: (b)(6)
Subject: RE: Erin Schneider"s Departure
Date: Wednesday, March 23, 2022 3:40:17 PM
Attachments: image001.png
image002.png

Looks great to me. Thanks so much, (b)(6) – and best wishes! I've already signed up my personal email to get all SEC press releases so I can follow the action from the outside!

From: (b)(6) @SEC.GOV>
Sent: Wednesday, March 23, 2022 12:30 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Erin Schneider's Departure

Hi Erin

(b)(5)

Thanks!

(b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, March 23, 2022 11:59 AM
To: (b)(6) @SEC.GOV>
Subject: Re: Erin Schneider's Departure

(b)(5)

Thanks (b)(6)

From: (b)(6)
Sent: Wednesday, March 23, 2022 6:36:44 AM
To: Schneider, Erin
Subject: RE: Erin Schneider's Departure

Hi Erin (b)(5)

(b)(5)

Thanks,

(b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, March 22, 2022 12:25 PM
To: (b)(6) @SEC.GOV>
Subject: RE: Erin Schneider's Departure

Thanks so much – super appreciate.

From: (b)(6) @SEC.GOV>
Sent: Tuesday, March 22, 2022 10:18 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Erin Schneider's Departure

Hi Erin – I actually just got the PR back from OPA a moment ago! They had Gary review as well, so I'll just now need Gurbir and Sanjay to review and we should be all set. I'll keep you posted..

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, March 22, 2022 11:30 AM
To: (b)(6) @SEC.GOV>; (b)(6) @SEC.GOV>
Subject: RE: Erin Schneider's Departure

Thanks (b)(6) (b)(5)
(b)(5)

From: (b)(6) @SEC.GOV>
Sent: Tuesday, March 22, 2022 9:28 AM

To: Schneider, Erin <SchneiderE@sec.gov>; (b)(6) @SEC.GOV>
Subject: RE: Erin Schneider's Departure
(b)(5)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, March 22, 2022 11:24 AM
To: (b)(6) @SEC.GOV>
Cc: (b)(6) @SEC.GOV>
Subject: RE: Erin Schneider's Departure
(b)(5)

From: (b)(6) SEC.GOV>
Sent: Tuesday, March 22, 2022 9:20 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: Erin Schneider's Departure

Good morning,

(b)(5)

(b)(6)

Office of Operations, Projects & Planning
Division of Enforcement
(b)(6)

From: Grewal, Gurbir <(b)(6) @SEC.GOV>
Sent: Tuesday, March 22, 2022 9:58 AM
To: #ENF HO and Regions Employees (b)(6) @SEC.GOV>
Subject: Erin Schneider's Departure

DIVISION OF ENFORCEMENT

Erin Schneider, San Francisco Regional Office Director, to Leave SEC

Good morning all,

We are writing to share that Erin Schneider, Director of the San Francisco Regional Office (SFRO), will be leaving the SEC at the end of March. We want to thank Erin for her exceptional leadership of the SFRO and service to the Division of Enforcement, as well as for her collegiality and friendship to many of us throughout the Division. We will miss her, but we wish her only success with her future endeavors.

Erin was appointed Regional Director in May 2019, and has led the SFRO examination and enforcement programs since then. That role was only the latest for Erin in an SEC career that has spanned nearly 17 years. Erin joined the SEC – and the Division – in 2005 as a staff attorney in the SFRO. In 2012, Erin was promoted to Assistant Regional Director of the Division's Asset Management Unit, and in 2015, she became the Associate Regional Director of Enforcement in the SFRO. As head of the SFRO, Erin supervised a number of important cases. She also played an important role in the Division's efforts related to Diversity and Inclusion, and helped guide the SFRO through numerous challenges posed by the coronavirus pandemic. Prior to joining the SEC, Erin worked as an associate in the Washington D.C. and San Francisco offices of Gibson, Dunn & Crutcher LLP and as an auditor at PricewaterhouseCoopers LLP. She earned her bachelor's degree from the University of California at Berkeley and her law degree (cum laude) from the University of California's Hastings College of the Law.

While we will be sad to see Erin go, we are pleased to announce that Monique Winkler has agreed to serve as Acting Regional Director of the SFRO. Monique joined the Enforcement Division as a staff attorney in the SFRO in 2008 and joined the Public Finance Abuse Unit in 2010. She was promoted to Assistant Regional Director in 2015 and was named Associate Regional Director in September 2019. She earned a bachelor's degree in psychology magna cum laude from Indiana University and her law degree from Vanderbilt University School of Law.

Gurbir Grewal, Director
Sanjay Wadhwa, Deputy Director
ENFORCEMENT

From: Schneider, Erin
To: Vasquez, Carlos
Subject: RE: Excellent job!
Date: Wednesday, January 26, 2022 10:04:04 PM

Thanks, felt like I didn't get a chance to get a ton of substance in with the way the questions were falling but oh well. Hope I did the office proud!

From: Vasquez, Carlos (b)(6) @sec.gov>
Sent: Wednesday, January 26, 2022 7:02 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Excellent job!

Carlos Vasquez
Supervisory Counsel for Outreach and Intake
U.S. Securities and Exchange Commission
44 Montgomery St., Ste. 2800
San Francisco, CA 94104
(b)(6)

From: (b)(6) @sec.gov>
Sent: Thursday, February 24, 2022 2:13 PM
To: Winkler, Monique (b)(6) @sec.gov>
Cc: (b)(6) @sec.gov>; (b)(6)
(b)(6) @sec.gov>
Subject: FOIA Request - (b)(7)(A) / Hewlett-Packard Company

Hi Monique:

Please review the attached FOIA Request and advise me whether the subject case generated any documents that directly pertain to the conduct, disclosures, and/or transactions of Pfizer Inc. since January 1, 2020. If so, please advise me of their accessibility and volume. Thanks.

Sincerely,

(b)(6)

U.S. Securities & Exchange Commission
44 Montgomery Street, Ste. 2800
San Francisco, CA 94104
Follow us on twitter @SF_SEC

From: (b)(6) @sec.gov (b)(6) @sec.gov>
Sent: Tuesday, February 15, 2022 12:40 PM
To: #FOIA-SFRO (b)(6) @SEC.GOV>
Subject: San Francisco Regional Office - Referral Memo - 22-01132-FOIA

Request for Documents for Request # '22-01132-FOIA'.
Your response due date is: 3/2/2022 12:00:00 AM

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: FYI - (b)(6) is in the office today eom.
Date: Wednesday, March 23, 2022 3:15:06 PM

Thanks!

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Wednesday, March 23, 2022 12:13 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FYI - (b)(6) is in the office today eom.

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6) @sec.gov

U.S. SECURITIES AND EXCHANGE COMMISSION

MCMXXXIV

SECURITIES AND EXCHANGE COMMISSION

MCMXXXIV

From: Schneider, Erin
To: Kelcourse, Kevin M.
Subject: RE: Favor for SFRO?
Date: Tuesday, February 22, 2022 7:39:55 PM

(b)(5)

From: Kelcourse, Kevin M. (b)(6) @SEC.gov>
Sent: Monday, February 14, 2022 1:57 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Favor for SFRO?

I can do it. No worries. Part of me hopes you get a lot, but part of me hopes not!

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, February 14, 2022 3:56 PM
To: Kelcourse, Kevin M. (b)(6) @SEC.gov>
Subject: RE: Favor for SFRO?

(b)(5)

THANK YOU.

From: Kelcourse, Kevin M. (b)(6) @SEC.gov>
Sent: Monday, February 14, 2022 12:55 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Favor for SFRO?

All is good. Will be good to hear how your visit goes – and what you do. On the SME front, I'm always ready to help. Paul is right, but I'm never too busy! Hopefully by then my "special project" will have slowed down a bit…

Thanks.

Kevin.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, February 14, 2022 3:45 PM
To: Kelcourse, Kevin M. (b)(6) @SEC.gov>
Subject: Favor for SFRO?

(b)(5); (b)(6)

Hope all is going well with you back there – I'll let you know how our Town Hall goes tomorrow!

Thanks!

Erin

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800

San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Wilson, Stephanie
Cc: Ro, Elena
Subject: RE: Feb. 1st & 2nd
Date: Monday, January 31, 2022 2:46:21 PM

Thanks Steph!

From: Wilson, Stephanie (b)(6) @sec.gov>
Sent: Monday, January 31, 2022 11:27 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: Feb. 1st & 2nd

Erin-

I plan on going to the office Tuesday the 1st and Wednesday the 2nd.

Thanks-

Steph

Stephanie A. Wilson
U.S. Securities and Exchange Commission
Assistant Regional Director-Regulation
44 Montgomery St, Suite 2800
San Francisco, CA 94104
(b)(6)

From: Schneider, Erin
To: Ro, Elena; Wilson, Stephanie
Subject: RE: Feb. 9th & 10th
Date: Tuesday, February 8, 2022 4:00:38 PM

Thanks!

From: Ro, Elena (b)(6) @sec.gov>
Sent: Tuesday, February 8, 2022 12:55 PM
To: Wilson, Stephanie (b)(6) @sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: Feb. 9th & 10th
Thanks!

Sent from my iPhone

> On Feb 8, 2022, at 12:50 PM, Wilson, Stephanie (b)(6) @sec.gov> wrote:
>
> Erin-
> I plan on working out of 44 Montgomery this Wednesday and Thursday.
> Thanks-
> Steph
> Stephanie A. Wilson
> U.S. Securities and Exchange Commission
> Assistant Regional Director-Regulation
> 44 Montgomery St, Suite 2800
> San Francisco, CA 94104
> (b)(6)

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: Form 1743 speech request (ABA March 2 2022)
Date: Tuesday, March 1, 2022 10:47:16 PM

Thank you!

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Tuesday, March 1, 2022 6:45 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Uclusin, Wilda A. (b)(6) @sec.gov>
Subject: Re: Form 1743 speech request (ABA March 2 2022)
I just approved.

Sent from my iPhone

On Mar 1, 2022, at 5:54 PM, Schneider, Erin <SchneiderE@sec.gov> wrote:

Wilda, thanks so much. M I approved it so hopefully it's on its way to you.

From: Uclusin, Wilda A. (b)(6) @sec.gov>
Sent: Tuesday, March 1, 2022 2:58 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6) @sec.gov>
Subject: Form 1743 speech request (ABA March 2 2022)
Erin: the form is in your queue now. Please review & submit.
Monique: after Erin is done processing & the form is in your queue, please review & submit as you are the final approver.

Thanks! -W

From: Schneider, Erin
To: Straub, Amanda
Subject: RE: Form 450
Date: Tuesday, February 15, 2022 2:25:37 PM

Thank you! (And no worries, I know it's not due until today – they just ask me to make sure to follow up).

From: Straub, Amanda (b)(6) @SEC.GOV>
Sent: Tuesday, February 15, 2022 9:26 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Form 450
Yes, I will submit today. It's already mostly done, just waiting on some info from (b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, February 15, 2022 8:59 AM
To: Straub, Amanda (b)(6) @SEC.GOV>
Subject: Form 450
Hi Amanda – Ethics sent me a list this morning of all the folks who have not yet filed their Form 450. Given that it's due today, will you please make sure to get it in? THANK YOU!
Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Tomars, Michael
Subject: RE: (b)(6)
Date: Thursday, February 3, 2022 4:30:14 PM

Yes for LLMF if you think it's helpful. If you think the group would prefer to discuss without me that's completely fine as well.

Re (b)(6)

From: Tomars, Michael (b)(6) @sec.gov>
Sent: Thursday, February 3, 2022 1:12 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(6)

Hi Erin,

(b)(6)

BTW – the LLMF meeting is scheduled for Monday. Everyone accepted the invite. Do you want to be included?

Thanks. Michael

From: Schneider, Erin
To: (b)(6); Winkler, Monique; (b)(6)
Cc: (b)(6)
Subject: RE: GAO Entrance--Federal Oversight of 403(b) retirement savings plans
Date: Thursday, March 24, 2022 1:00:07 PM

Thanks. I have a hard stop at 11:00

From: (b)(6) @SEC.GOV>
Sent: Thursday, March 24, 2022 9:57 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>
Cc: (b)(6) @SEC.GOV>
Subject: FW: GAO Entrance--Federal Oversight of 403(b) retirement savings plans

FYI

From: (b)(6) @SEC.GOV>
Sent: Thursday, March 24, 2022 12:53 PM
To: (b)(6) @SEC.GOV>; (b)(6) @sec.gov>; (b)(6) (b)(6) @SEC.GOV>; (b)(6) @SEC.GOV>; (b)(6) @SEC.GOV>; (b)(6) @SEC.GOV>; (b)(6) @SEC.GOV>; (b)(6) (b)(6) @sec.gov>; (b)(6) @SEC.GOV>; (b)(6) (b)(6) @SEC.GOV>; (b)(6) @sec.gov>; (b)(6) (b)(6) @SEC.GOV>; (b)(6) @SEC.GOV>; (b)(6) (b)(6) @SEC.GOV>
Cc: (b)(6) @SEC.GOV>; (b)(6) @SEC.GOV>; (b)(6) (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>; (b)(6) (b)(6) @sec.gov>; (b)(6) @SEC.GOV>; Winkler, Monique (b)(6) @sec.gov>
Subject: GAO Entrance--Federal Oversight of 403(b) retirement savings plans

Hi everyone, I just heard from GAO and the lead analyst said (b)(6) would be on camera but does not expect that everyone will be. Your call as to if you want to be on camera or not. As an FYI, I will need to leave the meeting at 1:30. That shouldn't impact things as I will touch base with GAO and some of you after.

Thanks,

(b)(6)

From: Schneider, Erin
To: McGuire, Margaret S.
Subject: RE: GAOh no you didn"t!
Date: Friday, March 4, 2022 3:21:29 PM

Hi, I'm happy to do this, but will definitely need talking points.

From: McGuire, Margaret S. (b)(6) [redacted]@SEC.GOV>
Sent: Thursday, March 3, 2022 2:43 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: GAOh no you didn't!

It was so delightful catching up with you today. Thanks for spending time with me ☺

(b)(5) [redacted]

Margaret S. McGuire

Senior Counsel to the Director, and

Chief, Financial Reporting and Audit Group

Division of Enforcement

U.S. Securities and Exchange Commission

(b)(6) [redacted]*@sec.gov*

From: Schneider, Erin
To: Haddad, Edward G.
Subject: RE: favor
Date: Thursday, February 17, 2022 10:58:16 AM

Thanks so much, Ed. I'm going to let Chuck and Dan know and then I'll keep you posted w/r/t how I plan to communicate to the office. I really, really appreciate it. And the office is really, really going to appreciate it as well.

From: Haddad, Edward G. (b)(6) @sec.gov>
Sent: Thursday, February 17, 2022 7:57 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: favor

Hi Erin – Just circling back to you to confirm that you can designate me as acting EXAMS Associate for the interim period. Thanks, Ed

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, February 16, 2022 1:43 PM
To: Haddad, Edward G. (b)(6) @sec.gov>
Subject: favor

Hey there – I have a favor to ask you – is there a good time (maybe 15 mins or so) today or tomorrow to chat? Phone is fine.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From:	Schneider, Erin
To:	(b)(6)
Subject:	RE: five performance reviews
Date:	Friday, February 4, 2022 10:48:41 PM

I didn't have anything on these – feel free to upload these whenever you're ready! Thanks so much – these are so thoughtful and I really appreciate the time and care you put into them.

From: (b)(6) @SEC.GOV>
Sent: Friday, February 4, 2022 5:27 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: five performance reviews

Hi Erin,

See attached performance reviews for (b)(6) and (b)(6) (whoops, I meant 5).

Four more to come. Thanks.

(b)(6)

From: Schneider, Erin
To: Grewal, Gurbir
Subject: RE: food?
Date: Wednesday, March 2, 2022 2:31:23 PM

Ha ha ok.

From: Grewal, Gurbir (b)(6) @SEC.GOV>
Sent: Wednesday, March 2, 2022 11:31 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: food?
Oh thanks – I'm good. (b)(6) I'll grab a coffee when we get there.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, March 2, 2022 2:29 PM
To: Grewal, Gurbir (b)(6) @SEC.GOV>
Subject: food?
I'm going to grab something to eat so I don't pass out. Do you want me to grab something for you?

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Kahl, Daniel
Subject: RE: free in next hour? otherwise will look for time tomorrow. thanks
Date: Thursday, February 3, 2022 7:41:35 PM

Sorry – I had a lot of issues with my connectivity today and this just came through. Tomorrow (or next week – whatever works!)

From: Kahl, Daniel (b)(6) @SEC.GOV>
Sent: Thursday, February 3, 2022 2:01 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: free in next hour? otherwise will look for time tomorrow. thanks

DANIEL S. KAHL
Acting Director
U.S. Securities and Exchange Commission
Division of Examinations
100 F Street NE
Washington DC 20549
Phone |(b)(6)

From: Schneider, Erin
To: Ro, Elena
Subject: Re: ELS and kudoboard
Date: Friday, March 11, 2022 10:45:15 AM

Yes but I was trying to make a book out of it.

Sent from my iPhone

> On Mar 11, 2022, at 7:01 AM, Ro, Elena (b)(6) @sec.gov> wrote:
>
> Hey there - is it possible to send the Kudoboard to (b)(6) ?
>
> -----Original Message-----
> From: (b)(6)
> Sent: Thursday, March 10, 2022 5:05 PM
> To: Ro, Elena (b)(6) @sec.gov>
> Cc: (b)(6) @sec.gov
> Subject: ELS and kudoboard
>
> 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 My beautiful plaque arrived. Thanks so much!
>
(b)(6)
>
> In addition, is there a Kudoboard for me? Some people told me they wrote messages to me on that, but I haven't seen one yet.
>
> Thanks for everything. Hope things are well.
>
> (b)(6)
> (b)(6)
>
> Sent from my iPad

From: Schneider, Erin
To: Ro, Elena
Cc: Winkler, Monique
Subject: Re: ENF positions
Date: Wednesday, February 2, 2022 10:51:41 AM

Did you hear anything or are just tired of waiting?

Sent from my iPhone

> On Feb 2, 2022, at 7:50 AM, Ro, Elena (b)(6) @sec.gov> wrote:
>
> I'll start the train rolling
>
> Sent from my iPhone
>
>> On Feb 2, 2022, at 7:33 AM, Winkler, Monique (b)(6) @sec.gov> wrote:
>>
>> (b)(5)
>>
>> *Monique C. Winkler*
>> Associate Regional Director, Enforcement
>> U.S. Securities and Exchange Commission
>> 44 Montgomery Street, Suite 2800
>> San Francisco, California 94104-4691
>> Telephone: (b)(6)
>> Fax: 415.705.2500
>> (b)(6) @sec.gov

From: Schneider, Erin
To: (b)(6)
Cc: Winkler, Monique; (b)(6)
Subject: Re: Elon Musk and Tesla, Inc. Document Preservation Request
Date: Friday, March 18, 2022 6:12:20 PM
Attachments: Spiro - 3-18-22.pdf

Thank you

Sent from my iPhone

> On Mar 18, 2022, at 2:52 PM, (b)(6) @sec.gov> wrote:
>
> The letter from GC went out.
>
> **From:** McFadden, Elizabeth
> **Sent:** Friday, March 18, 2022 2:41 PM
> **To:** alexspiro@quinnemanuel.com
> **Cc:** (b)(6)
> **Subject:** Elon Musk and Tesla, Inc. Document Preservation Request
> Mr. Spiro:
> Please see the attached correspondence in response to your February 19, 2022 letter.
> Sincerely,
> Elizabeth McFadden
>
> Elizabeth McFadden
> Deputy General Counsel
> Office of the General Counsel
> U.S. Securities and Exchange Commission
> 100 F Street, NE, Washington, DC 20549
> (b)(6) (b)(6)@sec.gov

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

OFFICE OF THE
GENERAL COUNSEL

March 18, 2022

Via electronic mail
alexspiro@quinnemanuel.com

Alex Spiro, Esq.
Quinn Emanuel
51 Madison Avenue, 22nd Floor
New York, New York 10010-1601

Re: Elon Musk and Tesla, Inc. Document Preservation Request

Mr. Spiro:

We have received your February 19, 2022 letter to (b)(6) and (b)(6) requesting preservation of documents. In your letter, you assert that the General Counsel of the Securities and Exchange Commission ("Commission"), "all other Commission attorneys, and all members of the Commission's press office" are legally obligated to preserve all records, documents and information "that are relevant to Mr. Musk or Tesla's potential claims, including but not limited to, communications regarding Mr. Musk or Tesla with any members of the media." You further state that this preservation effort must "include[] collecting and preserving full forensic images of all devices, government and personally-owned, by all relevant individuals."

The collection and preservation you have requested covering all Commission attorneys and all members of the Commission's Office of Public Affairs staff does not provide sufficiently specific information about any relevant communications with the media and publication of those communications (including when and where they were published and any evidence that the Commission was the source of the communications) to enable the Commission to determine what, if any, preservation is reasonable beyond the Commission's existing preservation practices. If you continue to believe the Commission should take additional efforts to preserve certain documents and information, please provide additional information regarding your request.

Sincerely,

(b)(6)

Elizabeth McFadden
Deputy General Counsel

RECEIVED
JAN 18 2022
OFFICE OF FOIA SERVICES

From: no-reply@sec.gov on behalf of U.S. Securities and Exchange Commission
To: foiapa
Subject: Webform submission from Request for Copies of Documents-Mr Lubo Saltchev
Date: Saturday, January 15, 2022 5:58:03 PM

Submitted on Sat, 01/15/2022 - 17:52

Contact Information

Name
Mr Lubo Saltchev

Telephone
(b)(6)

Email
(b)(6)

Company Name, if Applicable
{Empty}

Address
(b)(6)

Request Details

Subject/Company Name
Elizabeth Holmes/Theranos Inc.

Date or range of document
July 11, 2017 to August 23, 2017

Film/Document Control #
{Empty}

File Number
SF-04030-A

CIK #
{Empty}

Type of document
Investigations

Other pertinent information
This FOIA request is for the video files(s) of the complete deposition, or what is available, by the United States Securities and Exchange Commission of Elizabeth Holmes in the matter of File No. SF-04030-A Theranos Inc. The deposition started on July 11, 2017 and ended on August 23, 2017 (according to the transcript of the deposition, available on the S.E.C FOIA Frequently Requested Documents webpage).

Fee Authorization

Fee Authorization
Willing to Pay $61

Fee Waiver Criteria

Fee Waiver is Requested
No

If you meet the criteria, please explain below.
{Empty}

Requesting Expedited Treatment

Expedited Service is Requested

No

If you meet the criteria, please explain below.
{Empty}

{Empty}

FOIA REQUEST REFERRAL

RECORDS
Please provide all documents responsive to the attached FOIA request.

RECOMMENDATION
If you believe that responsive information should be withheld, please indicate the specific records, or portion thereof, and referring to the FOIA exemptions, explain why the information should not be released.

FEE INFORMATION
Include with your response to this referral memo, a statement as to the number of hours of research spent on this request, along with the hourly rate (or SK rating) of the person(s) who processed the request.

Please do not hesitate to contact the FOIA Office with any questions.

DATE:	January 19, 2022
TO:	(b)(6) San Francisco Regional Office
FROM:	Carl Rollins, Research Specialist FOIA Office x(b)(6)
YOUR REPLY DUE:	February 2, 2022

FOIA REQUEST NO:	22-01017-FOIA
REQUESTOR:	Lubo Saltchev
SUBJECT:	video files(s) of the complete deposition by the SEC of Elizabeth Holmes in the matter of File No. SF-04030-A Theranos Inc
CASE NO:	
REFERRED TO:	
COMMENTS:	Please advise me of the accessibility of the requested deposition. Thank you

2/2/2022 12:00:00 AM

From: Schneider, Erin
To: Uclusin, Wilda A.
Subject: Re: Farewell sign
Date: Friday, March 25, 2022 11:49:27 AM

Ok! I'm Bart for about another 20 mins but will call you when I get in.

Sent from my iPhone

> On Mar 25, 2022, at 8:46 AM, Uclusin, Wilda A. <(b)(6)@sec.gov> wrote:
>
> Good morning Erin! Glad you dig it! Reach out to me at (b)(6). I'm awake ;^)
>
> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Friday, March 25, 2022 8:38 AM
> **To:** Ro, Elena (b)(6)@sec.gov>
> **Cc:** Uclusin, Wilda A. (b)(6)@sec.gov>
> **Subject:** Re: Farewell sign
> Wilda, I will give you a call when I get into the office. I love this. Seriously.
>
> Sent from my iPhone
>
>> On Mar 25, 2022, at 6:45 AM, Ro, Elena (b)(6)@sec.gov> wrote:
>>
>> Erin – here is the awesome image that Wilda created for you.
>> Wilda – thank you again!

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: Never mind -- I thought i had set it for 1030!
Date: Friday, February 25, 2022 1:33:55 PM

I'm going to call

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Friday, February 25, 2022 10:33 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: Never mind -- I thought i had set it for 1030!
Now is fine too

Sent from my iPhone

On Feb 25, 2022, at 10:32 AM, Schneider, Erin <SchneiderE@sec.gov> wrote:

From: Schneider, Erin
To: Valdez, Victor
Subject: RE: News?
Date: Thursday, March 17, 2022 1:07:40 PM

(b)(6)

From: Valdez, Victor (b)(6) @SEC.GOV>
Sent: Thursday, March 17, 2022 9:44 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: News?

(b)(6)

Vic

On Mar 17, 2022, at 9:37 AM, Schneider, Erin <SchneiderE@sec.gov> wrote:

(b)(6)

From: Valdez, Victor (b)(6) @SEC.GOV>
Sent: Thursday, March 17, 2022 9:27 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: News?

Sorry. I thought they did that already. Let me reach out to (b)(6) to see if (b)(6) can move it along.

(b)(6)

Vic

On Mar 17, 2022, at 7:55 AM, Schneider, Erin <SchneiderE@sec.gov> wrote:

(b)(5)

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800

San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: Re: OOO question
Date: Friday, March 25, 2022 11:48:45 AM

Ugh. Started to type but feel like this is a better oral conversation. If you're not leaving for a bit today we can chat today (I'm on Bart for another 20 mins or so though). If you've already left just call me Tuesday when you're back.

Sent from my iPhone

> On Mar 25, 2022, at 7:47 AM, Winkler, Monique (b)(6)@sec.gov> wrote:
>
> Thanks and feel free to send me an email with a name today…:)
>
> Sent from my iPhone
>
>> On Mar 25, 2022, at 6:44 AM, Schneider, Erin <SchneiderE@sec.gov> wrote:
>>
>> Ha ha ha ha ha ha ha. I only tell folks if I'm on a longer trip where I feel like I'm not going to be able to check email. So normally for today I wouldn't tell anyone bc you have me (I had you) bc you might be able to check, etc. But going forward, now that you don't have me, any time you feel like you're going to be unavailable I would let Gurbir and Rich know. And of course Elena and Ed.
>>
>> Sent from my iPhone
>>
>>> On Mar 25, 2022, at 6:29 AM, Winkler, Monique (b)(6)@sec.gov> wrote:
>>>
>>> Who do you tell when you are going to be out of the office outside of SFRO?
>>>
>>> *Monique C. Winkler*
>>> Associate Regional Director, Enforcement
>>> U.S. Securities and Exchange Commission
>>> 44 Montgomery Street, Suite 2800
>>> San Francisco, California 94104-4691
>>> Telephone: (b)(6)
>>> Fax: 415.705.2500
>>> (b)(6)@sec.gov

From: Schneider, Erin
To: Brannon, Nadia P
Subject: RE: Open Meeting of the Commission tomorrow morning (Weds)
Date: Tuesday, February 8, 2022 7:17:00 PM

Sorry, I should have included it. It will always be on the Exchange and, shortly before the meeting, on the SEC's public facing website as well.

From: Brannon, Nadia P (b)(6) @SEC.GOV>
Sent: Tuesday, February 8, 2022 4:07 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Open Meeting of the Commission tomorrow morning (Weds)

Erin, forgive my ignorance… Is there a webex to view it?

Nadia P. Brannon
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800 | San Francisco, CA 94104
Phone (b)(6) | Email (b)(6) @sec.gov | Mobile (b)(6)
http://www.sec.gov

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, February 8, 2022 1:00 PM
To: #SFRO\EVERYONE (b)(6) @SEC.GOV>
Subject: Open Meeting of the Commission tomorrow morning (Weds)

Hi All – I just wanted to remind everyone that there is an Open Meeting of the Commission tomorrow, **Weds Feb 9, beginning at 7am PT,** where the Commission will discuss several new rule proposals relating to: (1) Private Fund Advisers; Documentation of Registered Investment Adviser Compliance Reviews; (2) Adviser and Fund Cybersecurity Risk Management; and (3) Shortening the Securities Transaction Settlement Cycle.

It should be an interesting meeting for those of you who are interested in following the rule-making and/or like to get up early!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From:	Schneider, Erin
To:	Apps, Antonia
Subject:	RE: Outline for ABA Panel.docx
Date:	Tuesday, March 1, 2022 3:02:57 PM

Here's my bio but please don't use all of it – just whatever is helpful

Erin E. Schneider Erin E. Schneider is the Regional Director of the U.S. Securities and Exchange Commission's San Francisco Office. The Regional Office has a staff of over 125 people and is responsible for the SEC's enforcement and examination programs in Northern California, Washington, Oregon, Montana, Idaho and Alaska with over 1,300 investment advisers, almost 50 mutual fund complexes and over 250 broker-dealers located in the region. The public and pre-IPO companies located in the region are among the most dynamic and closely-followed issuers and companies in the country, including those in Silicon Valley, San Francisco, Seattle and Portland. Ms. Schneider began working in the San Francisco office in 2005 as a staff attorney and has conducted and supervised investigations into a wide variety of financial misconduct. In 2012, she became an Assistant Regional Director in Enforcement's Asset Management Unit, and from 2015 to 2019 led the office's enforcement efforts as its Associate Regional Director. Prior to joining the SEC staff, Ms. Schneider worked as a litigation associate in the Washington D.C. and San Francisco offices of Gibson, Dunn & Crutcher LLP, and as an auditor at PricewaterhouseCoopers LLP. Ms. Schneider earned her bachelor's degree in business administration from the University of California at Berkeley in 1995, and her law degree cum laude from the University of California's Hastings College of the Law in 2001.

From: Apps, Antonia <AApps@milbank.com>
Sent: Sunday, February 27, 2022 10:35 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Outline for ABA Panel.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 Erin,

Since I haven't had you on a panel before and our prep call was a bit rushed, I have put together the attached, which reflects a somewhat detailed discussion of various topics you identified on the phone. This is not the overall outline for the panel, which I will to the group later tonight (and which will be more high level). But I wanted to give you more detail in the first instance so you can get a sense of the specific questions I will ask (subject to your confirmation they work for you, of course). You can redline this back to me, call me (b)(6), or just send an email with some overall comments and I will incorporate.

Also, can you send me your bio so that I can properly introduce you?

Thanks! So glad you are doing this.

Best,

Antonia

Antonia Apps | Milbank | Partner
55 Hudson Yards, New York, NY 10001-2163
T (b)(6)
aapps@milbank.com | milbank.com

From: Schneider, Erin
To: Vasquez, Carlos; Winkler, Monique; Ro, Elena
Subject: RE: Pausing all social media
Date: Thursday, February 24, 2022 5:02:53 PM
Attachments: image001.png
image002.png

(b)(5)

From: Schneider, Erin
Sent: Thursday, February 24, 2022 9:13 AM
To: Vasquez, Carlos (b)(6)@sec.gov>; Winkler, Monique (b)(6)@sec.gov>; Ro, Elena (b)(6)@sec.gov>
Subject: RE: Pausing all social media

(b)(5); (b)(6)

From: Vasquez, Carlos (b)(6)@sec.gov>
Sent: Thursday, February 24, 2022 8:37 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6)@sec.gov>; Ro, Elena (b)(6)@sec.gov>
Subject: FW: Pausing all social media

(b)(5)

From: Nada, Basmah (b)(6)@SEC.GOV>
Sent: Thursday, February 24, 2022 6:52 AM
To: Steffen, Lynn (b)(6)@sec.gov>; Vasquez, Carlos (b)(6)@sec.gov>; Huntley, Anna C (b)(6)@SEC.GOV>; Dodge, Matthew B (b)(6)@SEC.GOV>; Pena, Arlene (b)(6)@SEC.GOV>; Lim, Nathasha (b)(6)@SEC.GOV>
Subject: Re: Pausing all social media

Also, attached is a document with all of the social posts that I just deleted, that way it's easier for all of us to reference later whenever it is appropriate for us to resume social media posting.

Please let me know if you have any questions!

Best,

Basmah

From: "Nada, Basmah" (b)(6)@SEC.GOV>
Date: Thursday, February 24, 2022 at 9:38 AM
To: "Steffen, Lynn" (b)(6)@sec.gov>, "Vasquez, Carlos" (b)(6)@sec.gov>, "Huntley, Anna C" (b)(6)@SEC.GOV>, "Dodge, Matthew B" (b)(6)@SEC.GOV>, Arlene Pena (b)(6)@SEC.GOV>, "Lim, Nathasha" (b)(6)@SEC.GOV>
Subject: Pausing all social media

Hey folks,

I just wanted to flag that we're pausing on all social media posts for the week, there are very few instances in which we might resume posting, so I had to go ahead and cancel the posts you all had scheduled.

U.S. Securities and
Exchange Commission

Best,

Basmah

Basmah Nada
Digital Director
Office of Public Affairs
MOBILE (b)(6)
(b)(6) @sec.gov

U.S. Securities and Exchange Commission

From: Schneider, Erin
To: (b)(6)
Subject: RE: performance reviews
Date: Friday, February 4, 2022 10:44:14 PM

Thanks (b)(6)! I had just one thing I wanted to pick your brain on which I'll call you about Monday morning. The only thing I noticed was a reference to (b)(6) in (b)(6) write-up.

From: (b)(6) @SEC.GOV>
Sent: Friday, February 4, 2022 7:29 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: performance reviews

Hi Erin,

Attached are the draft performance reviews for (b)(6) and (b)(6).

Thanks. Have a great weekend!

(b)(6)

From:	Schneider, Erin
To:	Persson, Jill; Ro, Elena
Cc:	Wilson, Stephanie
Subject:	RE: Phone Call and Teachers
Date:	Tuesday, March 8, 2022 5:11:04 PM

Thanks Jill! We did some stuff – but this was all you. You know that. THANK YOU!!!!

From: Persson, Jill <(b)(6) @sec.gov>
Sent: Tuesday, March 8, 2022 1:59 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>
Cc: Wilson, Stephanie (b)(6) @sec.gov>
Subject: Phone Call and Teachers

Hello Again, not sure if one of you tried to call me after the meeting. I was on the phone with Kevin as my computer stopped doing it's thing right after the meeting. Thank goodness it held together during our call.

Just wanted to say thank you (again) to all three of you for allowing us to do this. I enjoyed all of it and was grateful for your support as well as your big brains, hard work and big hearts. Man, you guys could conquer the world.

Thank you.

From: Schneider, Erin
To: SFRO-Reception-Desk; #SFRO All Exam Staff; Ro, Elena
Cc: Brannon, Nadia P; Fleet, Katherine A; Marchi, James J.; Chen, Austin; Tomars, Michael; Martin, Michael H.; Yu, Benjamin; Lee, Donna; Heijmans, Pamela L.; Hurtado, Arturo; Radkar, Shanti; Darfler, Brad; Schulman, Alice; Lee, David; Leung, Leon; Chee, Ada C.; Mittelman, Charito; O"Toole, Matthew M.; Linvill, Michael H.; Chan, Marcus; Walker, Robert (Scott); Wolz, Steven R.; Zundel, Jennet; Smith, Caroline; Warren, Ruth E.; Hauger, Craig W.; Stulberg, Yujie; To, Karah; Moodie, Marilyn; Winkler, Monique; Baktha, Arthy; Tom, Cindy Y.; Chee, John C.; Cline, Bradley J; Lopez, Desiree; Glukhovsky, Vadim; Jolivet, Fred; Bloom, Peter D.; Schoenborn, Jerome A.; Minyen, Alicia; Haddad, Edward G.; Valle, Marc A.; You, Bernice Y.; Purcell, Kathleen; Dickman, Brienne; Peso, Daniel; Bonner, Tracey A.; Cooper, Cindy N.; Lyttle, Jeffrey A.; Hellman, Leonard E; Dutton, Thomas J.; Gould, Erica R.; Flanders, Ricky; Ta, Thu Bao; Wilson, Stephanie; Lee, Carol
Subject: Canceled: Monthly EXAMS Staff Meeting
Importance: High

Hi folks – I'm sending a new cal invite for the monthly EXAMS staff meeting. It's at the same time and same place (virtual for now but claiming 2602 just for the future). Please accept the series even if you can't make the one scheduled for February as this is a recurring meeting. THANK YOU!

From: Schneider, Erin
To: Bustillo, Eric I.
Subject: FW: Heads up that Director Grewal might be in and out of SFRO Tues and Weds
Date: Wednesday, March 16, 2022 3:09:39 PM

And the email I sent letting people know he was in the office (but we were NOT hosting any sort of event with him).

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, February 28, 2022 4:51 PM
To: #SFRO ENF Employees and Contractors
(b)(6) [redacted]@SEC.GOV>
Subject: Heads up that Director Grewal might be in and out of SFRO Tues and Weds

Hello ENF folks –

I just wanted you give you a heads up that ENF Director Grewal is in San Francisco this week to speak at the ABA white collar conference. He has a busy schedule so we're not planning on doing any sort of formal town hall/meeting (don't worry – we'll get him out here soon for some quality SFRO time). He might, however, be in and out of SFRO tomorrow and Weds depending on how his plans shake out. I wanted to give you a heads up in case you plan on being in the office that you might see him walking around on the 28th floor (if he is in, he'll be in the conference room next to my office – 2856). If the door is open, I'm sure he'd welcome a hello.

Please feel free to reach out to me/Monique/Elena if you have any questions.

Erin

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Miller, Martha
Subject: FW: Martha Legg Miller, Director of Small Business Advocate Office, to Leave SEC
Date: Thursday, March 24, 2022 12:05:41 PM

Goodbye Martha! And best wishes! Tomorrow is my last day as well truly hope our paths cross again!

From: Securities and Exchange Commission <sec@service.govdelivery.com>
Sent: Thursday, March 24, 2022 8:11 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Martha Legg Miller, Director of Small Business Advocate Office, to Leave SEC

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.

You are subscribed to Press Releases from the Securities and Exchange Commission. A new press release is now available.

Martha Legg Miller, Director of Small Business Advocate Office, to Leave SEC

03/24/2022 11:00 AM EDT

The Securities and Exchange Commission today announced that Martha Legg Miller, Director of the Office of the Advocate for Small Business Capital Formation (OASB), is leaving the agency at the end of April. Sebastian Gomez Abero will serve as Acting…

Capital Raising Building Blocks

Explore the fundamentals of capital raising with our latest tool, Building Blocks.

SEC Seal

From: Schneider, Erin on behalf of Johnson, Kenneth A. (OCOO)
To: Winkler, Monique; Cebeci, Rabia A.; Fallacaro, Edward; Conders, Andrew; Friedman, Christopher P.; Goodwin, Roderick; Isenman, Barry; Mori, Cheryl M.; Ro, Elena; Fisher, Robert; Cathell, Vance; Girod, Olivier A; Layne, Michele W.; Levenson, Paul; Valdez, Victor; Best, Richard R; Willis, Ragan; Bustillo, Eric I.; Duckett-Brennan, Tanya; Diamantopoulos, Tina; Gibson, Kelly L. (PLRO); Kauffman, Caryn; Hare, Brandy N.; Butler, David W.; Schmautz, Janet; Kendall, Mary; Wadley, Daniel J.; Berger, Marc; Jamey McNamara (b)(6) @SEC.GOV); Koretke, Charles; Bottom, David; Schneider, Erin; Jones, Nekia; Arietti Gold, Charlene; Gregus, Daniel
Cc: O''Dougherty, Thomas; Riddle, Charles; Piccone, Thomas M.; Gottschall, Kurt L.; Peavler, David L.; Reinhold, Mark; Blume, Allen; Jeffries, Justin; Esau, Donna C.; Styles, Mary M.; Coronel, Kimberly; Thompson, Scott A.; Thompson, Joy G.; Gimbrere, Peter F; Gandy, Marshall
Subject: FW: Monthly Operational Update for Regions

-----Original Appointment-----
From: Johnson, Kenneth A. (OCOO) (b)(6) @SEC.GOV>
Sent: Friday, September 11, 2020 10:02 AM
To: Johnson, Kenneth A. (OCOO); Cebeci, Rabia A.; Fallacaro, Edward; Conders, Andrew; Friedman, Christopher P.; Goodwin, Roderick; Isenman, Barry; Mori, Cheryl M.; Ro, Elena; Fisher, Robert; Cathell, Vance; Girod, Olivier A; Layne, Michele W.; Levenson, Paul; Valdez, Victor; Best, Richard R; Willis, Ragan; Bustillo, Eric I.; Duckett-Brennan, Tanya; Diamantopoulos, Tina; Gibson, Kelly L. (PLRO); Kauffman, Caryn; Hare, Brandy N.; Butler, David W.; Schmautz, Janet; Kendall, Mary; Wadley, Daniel J.; Berger, Marc; Jamey McNamara (b)(6) @SEC.GOV); Koretke, Charles; Bottom, David; Schneider, Erin; Jones, Nekia; Arietti Gold, Charlene; Gregus, Daniel
Cc: O'Dougherty, Thomas; Riddle, Charles; Piccone, Thomas M.; Gottschall, Kurt L.; Peavler, David L.; Reinhold, Mark; Blume, Allen; Jeffries, Justin; Esau, Donna C.; Styles, Mary M.; Coronel, Kimberly; Thompson, Scott A.; Thompson, Joy G.; Gimbrere, Peter F; Gandy, Marshall
Subject: Monthly Operational Update for Regions
When: Occurs the second Friday of every 1 month(s) effective 5/11/2018 from 1:00 PM to 1:30 PM (UTC-05:00) Eastern Time (US & Canada).
Where: "Join Meeting" below

DO NOT DELETE OR CHANGE ANY OF THE TEXT BELOW THIS LINE
WebEx information for your meeting scheduled on https://meetings.sec.gov/meetings will replace this section after you save and send this invitation.

-- Do not delete or change any of the following text. --

When it's time, join your Webex meeting here.

Join meeting (b)(6)

More ways to join:

Join from the meeting link

(b)(6)

Join by meeting number

Meeting number (access code): (b)(6)

Meeting password: (b)(6)

Tap to join from a mobile device (attendees only)
(b)(6) USA Toll 2
US Toll
Some mobile devices may ask attendees to enter a numeric meeting password.

Join by phone
(b)(6) USA Toll 2
US Toll
Global call-in numbers (b)(6)

Join from a video system or application
Dial (b)(6)

Join using Microsoft Lync or Microsoft Skype for Business

Dial (b)(6)

If you are a host, click here (b)(6) to view host information.

Need help? Go to https://help.webex.com

From: Schneider, Erin
To: (b)(6)
Cc: Winkler, Monique
Subject: FW: Musk - Draft opposition to motion to quash subpoena and vacate judgment
Date: Sunday, March 20, 2022 3:47:22 PM

Huge compliment.

From: Grewal, Gurbir (b)(6)@SEC.GOV>
Sent: Sunday, March 20, 2022 12:35 PM
To: (b)(6)@SEC.GOV>; (b)(6)@SEC.GOV>
Cc: Johnson, Marc (b)(6)@SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6)@sec.gov>; (b)(6)@sec.gov>; (b)(6) (b)(6)@sec.gov>; (b)(6)@SEC.GOV>; (b)(6) (b)(6)@SEC.GOV>
Subject: RE: Musk - Draft opposition to motion to quash subpoena and vacate judgment

Thanks (b)(6); very nice job on this by you and the team. I don't have any edits or comments on this draft.

From: (b)(6)@SEC.GOV>
Sent: Saturday, March 19, 2022 11:59 AM
To: Grewal, Gurbir (b)(6)@SEC.GOV>; (b)(6)@SEC.GOV>
Cc: (b)(6)@SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6)@sec.gov>; (b)(6)@sec.gov>; (b)(6) (b)(6)@sec.gov>; (b)(6)@SEC.GOV>; (b)(6) (b)(6)@SEC.GOV>
Subject: Musk - Draft opposition to motion to quash subpoena and vacate judgment

Gurbir and Sanjay,

Attached is the current draft of our brief, due Tuesday. Please let us know if you have any comments our would like to discuss.

Best regards,

(b)(6)

From: Schneider, Erin
To: Haddad, Edward G.; Schulman, Alice; Wilson, Stephanie; (b)(6)
Subject: FW: Nomination Period for SEC Honorary Awards Underway thru April 6
Date: Wednesday, March 16, 2022 5:29:18 PM
Attachments: image002.png

Hi folks – looks like we (you) will have to do this before a new Associate gets here. (If there's anybody you think is deserving). I'll think about it too – but let's discuss at our next/last Weds meeting.

From: NEP Announcements (b)(6) @SEC.GOV>
Sent: Wednesday, March 16, 2022 2:01 PM
To: #EXAMS Leadership Team (b)(6) @SEC.GOV>
Subject: Nomination Period for SEC Honorary Awards Underway thru April 6

DIVISION OF EXAMINATIONS

Nomination Period for SEC Honorary Awards Underway thru April 6

In preparation for this year's 67th Annual SEC Awards virtual program, the Office of Human Resources (OHR) is now accepting nominations via its new **Honorary Awards SharePoint site** from **Wednesday, March 16, through Wednesday, April 6**. Nominations will only be accepted during this period.

New Nomination Process—Use OHR's Honorary Awards Site

Unlike previous years, **all nominations from the Division of Examinations —for every program and regional office—should be submitted directly to OHR's new Honorary Awards site** (*i.e.*, you will no longer need to submit the nomination on ExamNet). When the nomination period is completed (Wednesday, April 6), all nominations submitted from within the Division will be routed to the Office of the Managing Executive for confirmation and additional review.

Additional Updates

OHR's new workflow is expected to improve the end-to-end Honorary Awards process. This workflow will provide many benefits and establish an archive of historical honorary nominations. These changes will also help streamline stakeholder processes and provide automated functionality. Below are some key highlights of the new workflow and review process:

- **New Platform for Nomination Submissions and Review Processes**

  OHR has established a new workflow in SharePoint to accept and review all award nominations. The new platform will allow submitters to view their nominations throughout the process and edit them during the open period.

- **Award Certificates Will Now Have Standard Citations**

  OHR will use standardized award citations for each award category. Offices no longer are required to provide citations with the nominations. OHR has begun developing the citations and will coordinate with stakeholders to finalize them.

- **Nomination Confirmations**

  Through the SharePoint automated workflow, office heads and delegated administrators can view

all nominations submitted for their office. Offices will have the opportunity to conduct a final review and confirm the nominations on the site. The confirmed nominations will be submitted to the selection panels for review.

- **SK-17 Selection Panel Members**

  SK-17 employees are now eligible to serve on selection panels. As in prior years, I will submit names of proposed panel members to OHR and with this change we will be able to propose our SK-17s to serve on panels. In addition, OHR will coordinate with panel members to provide guidance on completing their reviews and submitting selections on the SharePoint site.

Guidance and Questions

You will find resources, such as the list and descriptions of the Honorary Awards, here. Throughout the intake and review cycle, OHR will conduct demonstrations, provide reference guides on navigating its new SharePoint webpage and keep you informed of program activities and changes that may arise.

If you have questions about the new process or need assistance, contact me or (b)(6)

Sincerely,

(b)(6)

From: Schneider, Erin
To: Davis, Tracy L.
Subject: Fwd: Heads up that Director Grewal might be in and out of SFRO Tues and Weds
Date: Tuesday, March 1, 2022 11:27:43 AM

Sorry, by the organizers

Sent from my iPhone

Begin forwarded message:

> **From:** "Schneider, Erin" <SchneiderE@sec.gov>
> **Date:** March 1, 2022 at 8:25:21 AM PST
> **To:** "Davis, Tracy L." (b)(6) [redacted]@sec.gov>
> **Subject: Re: Heads up that Director Grewal might be in and out of SFRO Tues and Weds**
>
> We haven't been offered anything by the
>
> Sent from my iPhone
>
>> On Mar 1, 2022, at 7:08 AM, Davis, Tracy L. (b)(6) [redacted]@sec.gov> wrote:
>>
>> Is there a way for any of us to attend this conference? Does the office have any passes to attend?
>>
>> Sent from my iPhone
>>
>>> On Feb 28, 2022, at 4:51 PM, Schneider, Erin <SchneiderE@sec.gov> wrote:
>>>
>>> Hello ENF folks –
>>> I just wanted you give you a heads up that ENF Director Grewal is in San Francisco this week to speak at the ABA white collar conference. He has a busy schedule so we're not planning on doing any sort of formal town hall/meeting (don't worry – we'll get him out here soon for some quality SFRO time). He might, however, be in and out of SFRO tomorrow and Weds depending on how his plans shake out. I wanted to give you a heads up in case you plan on being in the office that you might see him walking around on the 28th floor (if he is in, he'll be in the conference room next to my

office – 2856). If the door is open, I'm sure he'd welcome a hello.
Please feel free to reach out to me/Monique/Elena if you have any questions.
Erin
Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Lee, Jennifer J.; Winkler, Monique
Subject: Fwd: Morrison & Foerster Welcomes Distinguished SDNY Prosecutor, Edward A. Imperatore (ATTORNEY ADVERTISING)
Date: Thursday, January 20, 2022 2:39:08 PM

Assume you guys get these too but just in case. Wil and Ed.

Sent from my iPhone

Begin forwarded message:

> **From:** Morrison & Foerster <MoFoNews@mofo.com>
> **Date:** January 19, 2022 at 12:33:28 PM PST
> **To:** "Schneider, Erin" <SchneiderE@sec.gov>
> **Subject: Morrison & Foerster Welcomes Distinguished SDNY Prosecutor, Edward A. Imperatore (ATTORNEY ADVERTISING)**

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.

Morrison & Foerster

ANNOUNCEMENT

Morrison & Foerster Welcomes Distinguished SDNY Prosecutor, Edward A. Imperatore

[redacted]

Morrison & Foerster is pleased to announce that **Edward A. Imperatore** has joined the firm as a partner in its **Investigations + White Collar Defense Group**, based in the New York office. Mr. Imperatore joins Morrison & Foerster from the United States Attorney's Office for the Southern District of New York (SDNY), where he has served as Assistant United States Attorney (AUSA) since 2012 and a senior member of the Office's Securities & Commodities Fraud Unit. Mr. Imperatore brings to the firm nearly a decade of experience investigating, prosecuting, and trying cases involving securities and accounting fraud, insider trading, market manipulation, corporate fraud, cybercrime, and violations of the Foreign Corrupt Practices Act (FCPA). During his career at the United States Attorney's Office for the SDNY, Mr. Imperatore tried more than a dozen jury trials to verdict, all of which resulted in convictions. Among them were 10 complex, multi-week white-collar trials, including six trials in the Securities & Commodities Fraud Unit. He also argued 11 Second Circuit appeals. During his almost 10-year tenure as an AUSA, Mr. Imperatore investigated and prosecuted several high-profile corporate fraud and FCPA cases, including three of the 10 largest FCPA criminal resolutions, resulting in nearly $3 billion in penalties, and a $900 million criminal resolution with a major automotive company relating to a vehicle ignition switch defect. He also led numerous prominent white-collar prosecutions and trials, including an investigation and month-long accounting fraud trial during the COVID-19 pandemic of the CEO and COO of a public biomedical company for fraudulently inflating revenue, an investigation and three-week-long accounting fraud trial of the CFO of a public real estate investment trust for manipulating non-GAAP earnings metrics, an investigation and month-long trial of a film producer for a complex securities fraud and investment advisor fraud involving a New York hedge fund, and the investigations and multi-week insider trading trials of a Wall Street analyst and an investment fund owner.

"Morrison & Foerster is known worldwide for its stellar reputation, international expertise, and outstanding group of lawyers and clients," said Mr. Imperatore. "I am thrilled to join the firm's renowned litigation and white collar practices and look forward to using the experience and skills I have developed as an SDNY prosecutor and litigator to help our clients navigate their most complex matters."

Mr. Imperatore's arrival follows the addition of dozens of top former U.S. law enforcement and regulatory agency officials to the firm in recent years, including William Frentzen, Adam L. Braverman, Brian K. Kidd, Brandon Van Grack, Katherine Driscoll, and Nathan Reilly in just the past year. These additions underscore the strength of Morrison & Foerster's expanding multijurisdictional Investigations + White Collar Defense practice and ability to meet the growing client demand for defense of securities fraud, FCPA matters, and cybersecurity incidents as well as increased demand for white-collar investigative teams comprised of multiple former prosecutors, including from the SDNY.

author photo

Partner
eimperatore@mofo.com

From: Schneider, Erin
To: #Regional Directors
Subject: Heads up that I plan to forward the RD invite to Monique
Date: Tuesday, March 22, 2022 3:37:37 PM

Hi folks – now that they've announced Monique as Acting Director, I'm going to forward along the monthly RD invitation to her.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Kahl, Daniel
Subject: I mean, have you ever heard so many people be so thankful for their boss?
Date: Tuesday, January 25, 2022 12:48:41 PM

From: Schneider, Erin
To: Gregus, Daniel
Subject: Interview Qs
Date: Monday, February 7, 2022 2:14:59 PM

Hi there – do you have the list of interview questions that were used when (b)(6) and (b)(6) were hired into the (b)(6) spots? I am trying to get my questions together for (b)(6) spot and was wondering if you had those. Thank you!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
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415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Pazicky, Luke; West, Hartley
Subject: Introduction -- Luke meet Hartley to discuss Director Grewal"s participation in national Views from the Top event
Date: Thursday, February 10, 2022 2:27:54 PM

Hi – wanted to connect you two.

Hartley, Luke Pazicky works with Gurbir in our ENF Front Office and can help facilitate Gurbir' s participation. Luke, Hartley is organizing the national Views from the Top event. She always does a fabulous job with our local event here in terms of coming up with great topics but also being respectful of the types of questions we can and cannot answer in a public setting. I think you will enjoy working with her!

Will leave it up to the two of you to get in touch.

Thanks!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
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schneidere@sec.gov

From: Schneider, Erin
To: #SFRO SEC-Staff
Subject: Invitation to 7th Annual Bay Area Securities Enforcement Conference -- March 15
Date: Thursday, March 3, 2022 2:13:55 PM
Attachments: BaySEC 2022 Invitation.docx
Draft BaySEC 2022 agenda.docx

Hello All –

As most of you know, the SFRO will hold its **seventh(!)** annual Bay Area Securities Enforcement Conference (BaySEC) on **Tuesday, March 15, 2022 from 9:00 a.m. to 12:30 p.m**. The conference will be virtual again this year and aims to bring together representatives from Bay Area agencies responsible for investigating and prosecuting securities law violations and related financial crimes. Representatives of approximately 30 federal, state and county agencies attended in prior years.

Again this year, we will be joined by co-hosts the California Office of the Attorney General and the California Department of Financial Protection and Innovation (formerly the Department of Business Oversight), in partnership with the U.S. Attorney's Office, Northern District of CA, and (new this year) the San Francisco County District Attorney's Office.

You are invited to attend what we hope will be a very informative and collaborative event. (Please check with your supervisor before signing up.) The BaySEC 2022 agenda and invite are attached to this email. Please RSVP directly to (b)(6) @SEC.GOV.

Additional information about the event will be emailed to you after you register.

This conference has been through many changes since its inception – including moving from our 26th floor staff room to the California state building and now to our virtual setting – but I think it keeps getting better and better as our community grows closer and stronger. It also is a great time to attend as there have been so many recent interesting developments in our securities markets.

Big thank you to (b)(6) for doing so much work to launch this year's conference and additional thanks to all of our speakers and moderators for putting together such great content and of course to our outstanding technical support staff. Hope to see many of you there!

Erin E. Schneider
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schneidere@sec.gov

DFPI

WHAT: **BayArea Securities Enforcement Conference 2022**

WHEN: **Tuesday, March 15, 2022 – 9:00 am to 12:30 pm**

We are pleased to invite you to attend the seventh annual BayArea Securities Enforcement Conference (**BaySEC**), which will be held **virtually** on **Tuesday, March 15, 2022**. The conference is co-sponsored by the U.S. Securities and Exchange Commission, the California Office of the Attorney General and the California Department of Financial Protection and Innovation in conjunction with the U.S. Attorney's Office of the Northern District of California and the San Francisco County District Attorney's Office. There is no charge to attend.

As in prior years, our goal is to bring together representatives from Bay Area federal, state and local civil and criminal law enforcement agencies with jurisdiction over securities law and related financial violations, to establish connections with one another and to discuss common enforcement and regulatory concerns in a closed meeting.

Invitees will include representatives from the U.S. Attorney's Offices in the Northern and Eastern Districts of California; the Federal Bureau of Investigation; the Federal Trade Commission; the Consumer Finance Protection Bureau; the Secret Service; the Department of Homeland Security; the Postal Service; the Financial Industry Regulatory Authority (FINRA); the California Departments of Labor and Insurance; District Attorney's Offices for the Counties of San Francisco, Alameda, Contra Costa, Napa, Santa Clara, San Mateo, Santa Cruz, Sacramento, Solano and Sonoma; Bay Area City Attorney's Offices, police and sheriff's departments; and the co-sponsoring agencies.

This year's panel topics will be: Hot Topics (Silicon Valley update; ESG (environmental, social and governance) and Alternative Data; the joint CFTC/States metals cases; and employees behaving badly); **Protecting Consumers and Retail Investors** (update on consumer frauds; reporting requirements of California Elder Abuse and Dependent Adult Civil Protection Act; and misclassification of gig workers); and **Cyber and Financial Technology Update** (with updates from the SEC, the FBI, the U.S. Attorney's Office, and the California Department of Financial Protection and Innovation).

To register, please provide your name, title, agency and contact information (including phone number) to (b)(6) @SEC.GOV by **Friday March 11, 2022**. *Attendance is limited to government agency and law enforcement personnel.* Due to space constraints, registration may be limited. Please contact (b)(6) @sec.gov, (b)(6) with any questions.

We look forward to seeing you (virtually) at the seventh annual BaySEC!

From: Schneider, Erin
To: ExitCoordinator
Subject: IT assets
Date: Monday, March 14, 2022 2:38:17 PM

Hi, I was asked to verify that my that my IT assets are the ones you've descried for me. How can I get access to that list?

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Ro, Elena
Subject: (b)(6) press including a hard copy of The Recorder when (b) was promoted?
Date: Tuesday, March 22, 2022 6:35:18 PM

From: Schneider, Erin
To: Ro, Elena
Subject: (b)(6) reviews???
Date: Tuesday, March 22, 2022 6:40:09 PM

From: Schneider, Erin
To: Winkler, Monique
Subject: Just FYI
Date: Thursday, January 13, 2022 11:56:54 AM

Given (b)(6) departure going to go to the EXAMs monthly management meeting rather than CCM

From: Schneider, Erin
To: Darfler, Brad
Subject: Just got your phone message
Date: Thursday, January 20, 2022 3:07:06 PM

Brad! I'm in the office today and JUST picked up your voicemail message. I hate the fact that voicemails sometimes appear on my office phone (but not on my iphone). Argh! For a second I couldn't even remember what question I asked – but now I do – (b)(5) You answered it on that day – (b)(5) (b)(5) (b)(5) Thank you and SO SORRY I just got your message!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: Just tried you back
Date: Tuesday, February 8, 2022 1:01:28 PM

From: Schneider, Erin
To: Kahl, Daniel; Koretke, Charles
Subject: Kristin''s review
Date: Monday, January 24, 2022 11:58:20 AM

(b)(6)

Thanks,

Erin

Erin E. Schneider

Regional Director

United States Securities & Exchange Commission

44 Montgomery Street, Suite 2800

San Francisco, California 94104

415.705.2500

schneidere@sec.gov

From: Schneider, Erin
To: Serrano, Danae
Subject: Left you a vm -- wanted to chat for ten mins or so today if you had it
Date: Wednesday, February 2, 2022 11:05:22 AM

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Jones, Nekia
Subject: March 22 and 23
Date: Monday, March 7, 2022 1:22:18 PM

So there are pretty good blocks of time on Tues and Weds, Marc 22 and 23, from 9-12 Pacific Time. Can you move what's on your calendar then? If you can't – really – don't worry. I can sub someone else in. You are my first choice but I don't want to force you to move things just because I want to get this scheduled before I leave. That's my issue – not yours.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
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From: Schneider, Erin

To: Adams, Jessica; Andrews, Robin; Austin, Horace; (b)(6) Boodoo, Crystal; (b)(6) (b)(6) ; Buchholz, Steven; Bukowski, Janet L.; Chappell, Jeffrey; Chen, Ellen; (b)(6) (b)(6) ; Davis, Tracy L.; Diep, Janny; Donohue, Mark J.; Durham, Robert J.; Eme, Thomas J.; Filipp, Chrissy; Finley, Theis; Foley, Michael; Fong, Nicholas (Contractor); (b)(6) (b)(6) (b)(6) ; Gullapalli, Rachita; Habibi, Sam; Han, John K; Hawley, Ruth L; Hefty, Andrew; Hong, Victor W.; Huchro, Brian; Ivanchenko, Roman; Jackson, Teresa M.; Jensen, Alice L.; Jeon, Eric (Intern); Jindra, Jan; Johnson, Ryan; Johnston, Janet L.; Katz, Marc; Kerr, Ainsley; Khan, Nazish; Kim, Cherrie; Kim, Sallie; Knight, Brian P.; Kolhatkar, Rahul; LaMarca, Susan F.; Lawson, Cheryl M.; Le, Van Hoang; Lee, Jason H; Lee, Jennifer J.; Lee, Mark; Lee, Susan; Maguire, Peggy; (b)(6) ; March, Cristie; Marlow, Heather E.; Marshall, Christopher; McTigue, Serafima; Meyerhofer, Matthew G; Mogg, John; Moreno, Anthony; Murray, Cheryl; OCallaghan, Sheila E.; Oliver, Aminah M; Pease, Eric; Pendrey, Jeremy; Quintanilla, Silvana; Ro, Elena; Roeseler, Karl J.; Roscigno, John; Salzmann, William; Schihl, Michael; Sciaretta, Shannon (Intern); Shei, Kashya K.; Smyth, Bernard B. (Brent); Stearns, John; Straub, Amanda; Stulberg, Yujie; Tabrizi, Kian; Torchin, Ariana J; Tran, Judy; (b)(6) ; Tran, Teresa; Uclusin, Wilda A.; Varholik, Steven; Vasquez, Carlos; (b)(6) (b)(6) Warner, Jonathan Max; Wilk, Erin E; Wilson, Stephanie; Winkler, Monique; Zarrabi, Ali; Zhen, Jerry; Zhou, David; Zuberi, Madiha

Subject: (b)(6) Farewell

When it's time, join your Webex meeting here.

Join meeting (b)(6)

More ways to join:

Join from the meeting link

(b)(6)

Join by meeting number

Meeting number (access code): (b)(6)

Meeting password: (b)(6) from phones and video systems)

Tap to join from a mobile device (attendees only)
(b)(6) USA Toll 2
US Toll
Some mobile devices may ask attendees to enter a numeric meeting password.

Join by phone
(b)(6) USA Toll 2
US Toll
Global call-in numbers (b)(6)

Join from a video system or application
Dial (b)(6)

Join using Microsoft Lync or Microsoft Skype for Business

Dial (b)(6)

If you are a host, click here (b)(6) to view host information.

Need help? Go to https://help.webex.com <https://help.webex.com>

From: Schneider, Erin
To: Haddad, Edward G.; Schulman, Alice; Wilson, Stephanie; Ta, Thu Bao; Tomars, Michael
Subject: (b)(6) formal departure date
Date: Wednesday, February 16, 2022 2:24:40 PM

Also – (b)(6) has a formal departure date – it is (b)(6)

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
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schneidere@sec.gov

From: Schneider, Erin
To: Ro, Elena; Vasquez, Carlos
Cc: Winkler, Monique
Subject: Migration of TIO to Investor Services
Date: Tuesday, March 8, 2022 4:29:55 PM

So could we send some sort of email around actually announcing the creation of Investor Services meeting where teacher folks are welcome? I'd love to send that to the teacher group along with Jill's power point so they at least know what next steps are.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
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schneidere@sec.gov

From: Schneider, Erin
To: #SFRO\EVERYONE
Subject: Monique Winkler will serve as SFRO"s Acting Regional Director
Date: Tuesday, March 22, 2022 11:14:37 AM

Good Morning SFRO –

I wanted to share the news as soon as I was able that **Monique Winkler** has been named Acting Director until a permanent replacement for my position is found. Most – if not all of you – know that Monique's calm, practical, and unflappable approach to everything (plus her good humor!) will serve SFRO incredibly well, especially in this time of transition. SFRO is in great hands with Monique, (b), and Elena and I hope this news reassures folks over the interim period. Thank you Monique for agreeing to serve in this role!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: my ears are so tired
Date: Monday, February 14, 2022 6:48:37 PM

From: Schneider, Erin
To: Winkler, Monique
Subject: omg i just wrapped my meeting and now we have the CCM -- will try to call you after
Date: Thursday, February 10, 2022 2:06:14 PM

Also – I won't be on the SO call today (I'm having lunch with some of the EXAM ADs + (b)(6)). Which reminds me that we have to put (b)(6) back on the calendar!

From: Schneider, Erin
To: Kahl, Daniel
Subject: omg thank goodness for you
Date: Thursday, March 24, 2022 12:21:15 PM

From: Schneider, Erin
To: Winkler, Monique
Subject: On a crazy call with folks re posting of (b)(6) position
Date: Monday, February 14, 2022 1:25:33 PM

So start without me if I'm not there

From: Schneider, Erin
To: Winkler, Monique
Subject: on phone
Date: Thursday, February 10, 2022 12:49:30 PM

From: Schneider, Erin
To: (b)(6)
Subject: (b)(6) 2022 Performance Narrative.docx
Date: Thursday, February 24, 2022 6:14:28 PM
Attachments: (b)(6) 2022 Performance Narrative.docx

Hi (b)(6) – we have to do a (b)(6) for you. Obviously a very short time period . . . . . Here it is. Let me know if you want to discuss, otherwise I'm going to put this into LEAP.
Also – your plaque is coming directly to your house given the time it takes to ship. Something to look forward to!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Ro, Elena
Subject: Outside attendees
Date: Monday, January 10, 2022 6:41:51 PM

(b)(5)

From: Schneider, Erin
To: (b)(6)
Cc: Vasquez, Carlos; Ro, Elena; Winkler, Monique
Subject: Personnel Changes
Date: Tuesday, March 8, 2022 7:35:18 PM

Hi (b)(6) –

I'm writing to let you know that I am leaving the SEC at the end of the month. Kind of hard to believe, but it's true. One of the highlights of my time running the ENF program and then being the Regional Director here was partnering with you and the other (b)(6). I love our (b)(6) community.

I wanted to make sure that I reached out to you personally to tell you before I left and also to introduce you to the three people who will be running (b)(6) this year (and it most likely will be pushed back until after summer is over this year) – (b)(6) who runs our Investor Services group, Elena Ro who runs SFRO's Operations, and Monique Winkler, who runs our Enforcement program. All three of them are copied above.

I hope all is well with you – last time we spoke you were incredibly busy and I imagine you still are. Looking forward to seeing all the great things our agencies accomplish (just from a different perspective)!

Erin

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Pendrey, Jeremy
Subject: RE: have a minute?
Date: Friday, February 25, 2022 1:31:43 PM

In a sec. I have a quick meeting with M first.

From: Pendrey, Jeremy (b)(6) @sec.gov>
Sent: Friday, February 25, 2022 10:31 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: have a minute?

Jeremy E. Pendrey
Assistant Regional Director
Asset Management Unit
SEC Enforcement
(b)(6)

From: Schneider, Erin
To: (b)(6)
Subject: RE: Hey
Date: Tuesday, March 8, 2022 11:40:15 AM

Hi – chatted internally here and we don't think now is the right time to do this given that our litigation against Balwani is still open. Hope that makes sense.

Thanks for thinking of us. Hope all is well with you.

Erin

From: (b)(6)
Sent: Saturday, March 5, 2022 8:10 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Hey

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.

Hey Erin

Hope this finds you well.

(b)(6) and I teach a criminal securities enforcement seminar at NYU. Every year we do one class on a high profile trial — we usually get the prosecutor and defense lawyer. It's off the record and is often the best class of the year. The session is on a Monday in April at 415pm-615pm ET — we can be flexible on the date and participation by zoom works.

This year we want to do Theranos, and I've got (b)(6) agreeing to come. We'd love to have someone from the prosecution but I fear the Balwani trial may make that difficult. Failing that it would be great to have someone from SFRO to participate. Any chance you can help us find an appropriate speaker?

Thanks,

(b)(6)

From: Schneider, Erin
To: Greiner, Natasha (Vij)
Subject: RE: Hiring -- (b)(6) spot
Date: Monday, February 28, 2022 7:31:40 PM

That works. I forgot about that.

From: Greiner, Natasha (Vij) (b)(6) @SEC.GOV>
Sent: Monday, February 28, 2022 4:31 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: Hiring -- (b)(6) spot
Works for me. (b)(5)
(b)(6) Thoughts?

Sent from my iPhone

On Feb 28, 2022, at 6:37 PM, Schneider, Erin <SchneiderE@sec.gov> wrote:

(b)(5); (b)(6)

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: [redacted]
Cc: [redacted]; [redacted]
Subject: Re: [redacted]
Date: Thursday, January 27, 2022 1:57:02 PM

Sounds great, [redacted], thank you so much! Appreciate.

Sent from my iPhone

On Jan 27, 2022, at 10:17 AM, [redacted]@sec.gov> wrote:

Hi Erin,

[redacted]

Thanks,

[redacted]

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, January 27, 2022 8:03 AM
To: [redacted]@sec.gov>; [redacted]@sec.gov>; [redacted]@sec.gov>
Subject: Fwd: [redacted]

[redacted]

Sent from my iPhone

Begin forwarded message:

From: (b)(6) @sec.gov>
Date: January 27, 2022 at 7:57:07 AM PST
To: "Schneider, Erin" <SchneiderE@sec.gov>
Subject: (b)(6)

Hi Erin,

(b)(5)

From: Schneider, Erin
To: (b)(6); (b)(7)(C)
Cc:
Subject: RE: (b)(5);
Date: Monday, January 3, 2022 7:58:51 PM

So many ways to respond to this. I'll settle for "omg." Hope both of you are well!

-----Original Message-----
From: (b)(6)
Sent: Monday, January 3, 2022 4:39 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: (b)(6); (b)(7)(C)
Subject: (b)(5);

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(b)(5); (b)(6); (b)(7)(C)

From: Schneider, Erin
To: (b)(6)
Cc: Winkler, Monique; (b)(6)
Subject: Re: http://SEC.gov | Remediation Helps Tech Company Avoid Penalties
Date: Friday, January 28, 2022 11:30:07 AM

Thanks for sending! Great work!

Sent from my iPhone

> On Jan 28, 2022, at 8:23 AM, (b)(6) @sec.gov> wrote:
>
>
> https://www.sec.gov/news/press-release/2022-14
>
>
> Sent from my iPhone

From: Schneider, Erin
To: (b)(6)
Subject: RE: (b)(6)
Date: Thursday, January 20, 2022 3:00:24 PM

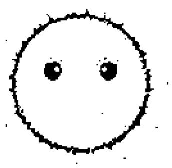
Just got back from the CCM. I have a 1:00 but then will come by before I need to take off.

From: (b)(6) @sec.gov>
Sent: Thursday, January 20, 2022 11:56 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(6)

I understand if you need to leave and don't have time to chat today.

(b)(6)

(b)(6)



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From: Schneider, Erin
To: (b)(6)
Subject: Re: I left my computer in the docking station
Date: Friday, March 25, 2022 8:19:55 PM

And I totally meant to leave the power cord but i forgot. I'm hoping I can put it in the box for the phone that (b)(6) gave me.

Sent from my iPhone

> On Mar 25, 2022, at 5:01 PM, (b)(6) (b)(6) @sec.gov> wrote:
>
> Okay. I will grab it. Thank you.
>
> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Friday, March 25, 2022 4:57 PM
> **To:** Ro, Elena (b)(6) @sec.gov>; (b)(6) @SEC.GOV>
> **Subject:** I left my computer in the docking station

From: Schneider, Erin
To: Schulman, Alice
Subject: RE: I may have to duck out during our time with (b)(6)
Date: Tuesday, January 25, 2022 1:10:30 PM

(b)(6)

From: Schulman, Alice (b)(6) @sec.gov>
Sent: Tuesday, January 25, 2022 10:06 AM
To: Snyder, Kristin A. (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>; (b)(6) (b)(6) @sec.gov>; (b)(6) @SEC.GOV>; (b)(6) (b)(6) @sec.gov>; (b)(6) @sec.gov>; (b)(6) @SEC.GOV>
Subject: I may have to duck out during our time with (b)(6)

(b)(6)

Thanks.

Alice

Alice L. Schulman, Assistant Regional Director, Examinations
United States Securities and Exchange Commission
44 Montgomery Street, Suite 2800 | San Francisco, CA 94104
Landline (b)(6) | Mobile (b)(6) | Email (b)(6) @sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: i will talk to (b)(6) about this one offline
Date: Thursday, February 17, 2022 5:29:55 PM

yeah

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Thursday, February 17, 2022 2:29 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: i will talk to (b)(6) about this one offline

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6) @sec.gov

From: Schneider, Erin
To: Greiner, Natasha (Vij)
Subject: RE: IA/IC Associate Posting
Date: Monday, February 14, 2022 5:56:33 PM

Oh I do. You're on my list of folks to reach out to. I will probably do so next week if that's okay.

From: Greiner, Natasha (Vij) (b)(6) @SEC.GOV>
Sent: Monday, February 14, 2022 2:43 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: IA/IC Associate Posting

Let me know if you need me to assist with the interview process.
Natasha
Natasha Vij Greiner
Associate Director, IA/IC Examination Program
Division of Examinations
U.S. Securities & Exchange Commission
100 F Street, N.E. | Washington, DC 20549
(b)(6) | (b)(6)@sec.gov

From: Schneider, Erin
To: Purcell, Kathleen
Subject: RE: IAIC Exec Committee
Date: Thursday, January 13, 2022 5:56:48 PM
Attachments: image001.png

Thanks so much, Kathleen – super appreciate this.

From: Purcell, Kathleen (b)(6) @SEC.GOV>
Sent: Thursday, January 13, 2022 2:52 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: IAIC Exec Committee

Hi Erin,

I know that Michael Tomars and Erika Gould volunteered to be part of the IAIC exec. Committee during the Exam Staffing meeting. I wanted to let you know that in the event they can't do it, I'd also be interested in helping out on this committee or any other committee. Happy to help out where needed.

Thanks,

Kathleen Purcell
Examination Manager
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, CA 94104
(b)(6)

From: Schneider, Erin
To: Ro, Elena
Subject: RE: i"m done with my call but you look like you"re on one now -eom
Date: Monday, March 14, 2022 4:52:00 PM

No I can get them.

From: Ro, Elena (b)(6) @sec.gov>
Sent: Monday, March 14, 2022 1:51 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: i'm done with my call but you look like you're on one now -eom
There are 2 on each floor. I'll bring you two.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, March 14, 2022 1:47 PM
To: Ro, Elena (b)(6) @sec.gov>
Subject: RE: i'm done with my call but you look like you're on one now -eom
Plus I need to know where shred bins are.

From: Ro, Elena (b)(6) @sec.gov>
Sent: Monday, March 14, 2022 1:33 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: i'm done with my call but you look like you're on one now -eom
Ahhh, I see why you need me now!

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, March 14, 2022 1:28 PM
To: Ro, Elena (b)(6) @sec.gov>
Subject: RE: i'm done with my call but you look like you're on one now -eom
It's been non-stop (still on). I really have to go (b)(6) . But I don't have a badge . . . . . . do you have an extra elevator card and office card?

From: Ro, Elena (b)(6) @sec.gov>
Sent: Monday, March 14, 2022 1:12 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: i'm done with my call but you look like you're on one now -eom

From: Schneider, Erin
To: Finlev, Theis
Subject: RE: Impart wisdom upon Theis
Date: Friday, March 25, 2022 4:41:43 PM

I'll come over? Down?

From: Finlev, Theis (b)(6) @SEC.GOV>
Sent: Friday, March 25, 2022 1:37 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Impart wisdom upon Theis

Erin,

Elena said you're on a call. No worries. If you free up in the next half hour or so, I can pop up for a few minutes. But I know you're very busy so no problem if it doesn't work out. I have to run (b)(6) (b)(6) and then I'll be back on around 3, but from home.

(b)(6)

-----Original Appointment-----
From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, March 23, 2022 4:19 PM
To: Finlev, Theis
Subject: Accepted: Impart wisdom upon Theis
When: Friday, March 25, 2022 1:30 PM-1:45 PM (UTC-08:00) Pacific Time (US & Canada).
Where: SFRO

U.S. Securities and Exchange Commission

From: Schneider, Erin
To: Ro, Elena
Subject: Re: in the office but (b)(6) eom.
Date: Tuesday, March 22, 2022 10:18:11 AM

Ha ha! I'm on my way in too!

Sent from my iPhone

> On Mar 22, 2022, at 7:04 AM, Ro, Elena (b)(6) @sec.gov> wrote:
>
> Have fun!
>
> **From:** Winkler, Monique (b)(6) @sec.gov>
> **Sent:** Tuesday, March 22, 2022 6:41 AM
> **To:** Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>
> **Subject:** in the office but (b)(6) eom.
> *Monique C. Winkler*
> Associate Regional Director, Enforcement
> U.S. Securities and Exchange Commission
> 44 Montgomery Street, Suite 2800
> San Francisco, California 94104-4691
> Telephone: (b)(6)
> Fax: 415.705.2500
> (b)(6) @sec.gov

From: Schneider, Erin
To: Murray, Cheryl
Subject: RE: Incoming mail
Date: Monday, February 28, 2022 5:24:14 PM

Agree, Cheryl, thanks so much for checking, though, I appreciate it.

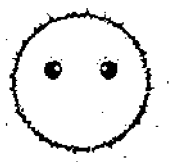
From: Murray, Cheryl (b)(6) @sec.gov>
Sent: Monday, February 28, 2022 2:20 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Incoming mail

Chello Erin:

The attached came in this morning. Elena and I have discussed the letter and feel that nothing needs to be done. This is an FYI. Please let me know if you have additional thoughts.

Cheers,

Cheryl Murray
Data and Program Analyst
(b)(6)



From: Schneider, Erin
To: Uclusin, Wilda A.; Ro, Elena
Subject: RE: Individual pics: (b)(
Date: Wednesday, January 19, 2022 4:49:24 PM

This works! Thank you!

From: Uclusin, Wilda A. (b)(6) @sec.gov>
Sent: Wednesday, January 19, 2022 1:33 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>
Subject: Individual pics: (b)(

I created a folder on my computer & when I go to share that folder, this is what resulted. -W

From: Schneider, Erin
To: Jones, Nekia
Subject: RE: Interview Schedule for SFRO Exam Associate
Date: Monday, March 7, 2022 1:16:29 PM

Super helpful, thank you!

From: Jones, Nekia (b)(6) @SEC.GOV>
Sent: Monday, March 7, 2022 10:16 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Interview Schedule for SFRO Exam Associate

I am definitely not that popular…so sorry that my calendar looks worse than it actually is!

(b)(6)

(b)(6) so that time is yours!

If we could avoid Monday and Tuesday afternoons after 2:30 PM, that would be great. I am happy to move any other meetings/blocks of time if they work well for everyone else.

Thank you!

Nekia Hackworth Jones, Esq.
Regional Director
Atlanta Regional Office
U.S. Securities & Exchange Commission
Cell: (b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, March 7, 2022 1:09 PM
To: Jones, Nekia (b)(6) @SEC.GOV>
Subject: RE: Interview Schedule for SFRO Exam Associate

Just from a preliminary look, you are the hardest to schedule. Are all of your calendar blocks real (i.e. sometimes I block things just to give myself some thinking time, or it's blocked because of something I want to do, but I know I'm unlikely to do it). It's completely fine if they are – I can work around them – but just wanted to ask.

From: Jones, Nekia (b)(6) @SEC.GOV>
Sent: Monday, March 7, 2022 10:02 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Layne, Michele W. (b)(6) @sec.gov>; Peavler, David L. (b)(6) @SEC.GOV>
Subject: RE: Interview Schedule for SFRO Exam Associate

Erin –

I would be delighted to participate. Thanks so much for the invitation!

Nekia Hackworth Jones, Esq.
Regional Director
Atlanta Regional Office
U.S. Securities & Exchange Commission
Cell: (b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>

Sent: Monday, March 7, 2022 12:54 PM

To: Layne, Michele W. (b)(6) @sec.gov>; Peavler, David L. (b)(6) @SEC.GOV>; Jones, Nekia (b)(6) @SEC.GOV>

Subject: Interview Schedule for SFRO Exam Associate

(b)(5)

Erin

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: (b)(6)
Subject: RE: ipad
Date: Monday, March 14, 2022 6:48:58 PM

That would be great! Thank you!

From: (b)(6) @SEC.GOV>
Sent: Monday, March 14, 2022 3:47 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: ipad

I am here. I can come down.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, March 14, 2022 3:17 PM
To: (b)(6) @SEC.GOV>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: ipad

Are you here today? I have an ipad to return.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

been with the SEC since 2007, has been associate regional director in New York since 2015.

Joy G. Thompson
Associate Director, Division of Examinations
Philadelphia Regional Office
(b)(6)

From: Schneider, Erin
To: Filipp, Chrissy
Subject: RE: (b)(6 and I came by!
Date: Friday, March 25, 2022 6:48:15 PM

I feel like we've never had a chance to talk. First (b)(6) was in my office and now (b)(6) in yours. You have to come to (b)(6)

From: Filipp, Chrissy (b)(6) @SEC.GOV>
Sent: Friday, March 25, 2022 2:56 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(6) and I came by!

I know you've seen enough of me this week, we were just going to say goodbye quickly; we're in my office now

Chrissy Filipp
Senior Counsel, Division of Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, 28th Floor
San Francisco, CA 94104
O: (b)(6)
F: 415-705-2501
(b)(6) @sec.gov

From: Schneider, Erin
To: Davis, Tracy L.
Subject: RE: Joint SFRO/ARO Black History Month Event Thursday, February 24 at 9:00am PT
Date: Tuesday, February 15, 2022 5:42:27 PM

THANK YOU!!!!!

From: Davis, Tracy L. (b)(6) @sec.gov>
Sent: Tuesday, February 15, 2022 2:12 PM
To: #SFRO\EVERYONE (b)(6) @SEC.GOV>
Subject: Joint SFRO/ARO Black History Month Event Thursday, February 24 at 9:00am PT

The San Francisco and Atlanta Regional Offices are hosting a joint event, co-sponsored by the African American Council, to celebrate Black History Month. I will send out Outlook invite as well. We hope you can attend!

A Conversation with (b)(6)

Henrietta Lacks – How a Black American Woman Unknowingly Became a Trailblazer in Groundbreaking Medical Discoveries Worldwide

(*Thursday, February 24 12:00 ET)* In celebration of Black History Month and its theme Health and Wellness, please join the Atlanta Regional Office, San Francisco Regional Office and the African American Council as they host (b)(6) (b)(6) will discuss Henrietta Lacks and her story of a Black woman becoming an unlikely hero in biomedical research after she was diagnosed with cervical cancer in 1951. While treating Henrietta Lacks at The Johns Hopkins Hospital, unbeknownst to Ms. Lacks, doctors removed some of the cells from her tumor to conduct research. They discovered that unlike other cells, Henrietta Lacks' cells could survive outside the body and researchers could grow the cells in a lab - which was critical for scientific research. According to Johns Hopkins: Henrietta Lacks' cells were "used to study the effects of toxins, drugs, hormones and viruses on the growth of cancer cells without experimenting on humans. They have been used to test the effects of radiation and poisons, to study the human genome, to learn more about how viruses work, and played a crucial role in the development of the polio and COVID-19 vaccines." Henrietta Lacks' story was chronicled in a book by Rebecca Skloot titled *The Immortal Life of Henrietta Lacks* and made into a movie starring Oprah Winfrey. For more than 20 years, (b)(6) has hosted the Women's Health Conference in honor of Henrietta Lacks. (b)(6) served as the medical consultant on the film, parts of which were filmed at (b)(6) The SEC's African American Council is hosting a book discussion about *The Immortal Life of Henrietta Lacks* on February 23.

SFRO Diversity Committee

From: Schneider, Erin
To: Gregus, Daniel
Subject: RE: (b)(6) plaque
Date: Friday, February 11, 2022 1:30:14 PM

I will – I'll send around something later today (I use my (b)(6) which is so lame, and I don't know what it is off the top of my head).

From: Gregus, Daniel (b)(6) @SEC.GOV>
Sent: Friday, February 11, 2022 10:28 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(6) plaque

Erin,

Thanks again for getting the plaque for (b)(6) Please let me know what I can chip in for the plaque.

Daniel R. Gregus

Regional Director

Chicago Regional Office
U.S. Securities and Exchange Commission

175 W. Jackson Blvd Suite 1450

Chicago, IL 60604

(b)(6)

(b)(6) @sec.gov

<< OLE Object: Picture (Device Independent Bitmap) >>

From: Schneider, Erin
To: Ro, Elena
Subject: Re: Ken Johnson call today
Date: Friday, March 11, 2022 10:45:36 AM

Yes

Sent from my iPhone

> On Mar 11, 2022, at 7:03 AM, Ro, Elena (b)(6) @sec.gov> wrote:
>
> So ironically, they moved the OCOO call to 10:00 am today to make them more accessible to the west coast folks, and it conflicts with an important (b)(7)(A) meeting I am having with the company. Are you available to cover the OCOO meeting?

From: Schneider, Erin
To: Schulman, Alice
Subject: RE: (b)(6)
Date: Wednesday, January 12, 2022 5:07:01 PM

XOXOXO

From: Schulman, Alice (b)(6) @sec.gov>
Sent: Wednesday, January 12, 2022 1:45 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(6)

You said it all Erin!

Alice

Alice L. Schulman, Assistant Regional Director, Examinations
United States Securities and Exchange Commission
44 Montgomery Street, Suite 2800 | San Francisco, CA 94104
Landline (b)(6) | Mobile (b)(6) | Email (b)(6) @sec.gov

From: Schneider, Erin
To: Ro, Elena
Subject: RE: (b)(6) Goodbye.docx
Date: Tuesday, January 25, 2022 2:51:26 PM

Ha ha haha thank you

From: Ro, Elena (b)(6)@sec.gov>
Sent: Tuesday, January 25, 2022 11:15 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: (b)(6)_Goodbye.docx
Also, (b)(6) confirmed the way we sent around the WebEx invite should work for everyone

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, January 24, 2022 3:34 PM
To: Ro, Elena (b)(6)@sec.gov>
Subject: (b)(6)_Goodbye.docx
I'm still refining it, but here is the general outline

From: Schneider, Erin
To: Ro, Elena
Subject: RE: (b)(6) PPT: Take 1
Date: Thursday, January 20, 2022 6:19:25 PM

I mean, my (b)(6). But it's otherwise a great photo.

From: Ro, Elena (b)(6) @sec.gov>
Sent: Thursday, January 20, 2022 3:18 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: (b)(6) PPT: Take 1

I love this photo of us!

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, January 20, 2022 3:13 PM
To: Uclusin, Wilda A. (b)(6) @sec.gov>; Ro, Elena (b)(6) @sec.gov>
Subject: RE: (b)(6) PPT: Take 1

Thank you! I meant to get back to you about this and I'm sorry for the delay! I also found this one . . .

From: Uclusin, Wilda A. (b)(6) @sec.gov>
Sent: Thursday, January 20, 2022 3:00 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>
Subject: (b)(6) PPT: Take 1

There are couple of slides that need Remarks. Suggestions welcome, please & thank you. -*W*

From: Schneider, Erin
To: (b)(6)
Cc: Haddad, Edward G.
Subject: Re: Leave Requests
Date: Friday, March 4, 2022 5:48:31 PM

I just went in and saw one more (and approved). But that was it.

Sent from my iPhone

> On Mar 4, 2022, at 2:32 PM, (b)(6) @sec.gov> wrote:
>
> Erin,
> I submitted several leave requests today. I do not believe that Ed has access to approve my requests.
> Let me know if you have any questions.
> Thanks, (b)(6)

From: Schneider, Erin
To: Mittelman, Charito
Subject: RE: (b)(6)
Date: Thursday, March 24, 2022 5:00:13 PM
Attachments: image001.png

Ha ha I just got this!!!!

From: Mittelman, Charito (b)(6) @SEC.GOV>
Sent: Thursday, March 24, 2022 1:24 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(6)

(b)(6)

Best,

Charito

Charito A. Mittelman
Attorney-Adviser
Division of Examinations
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800 San Francisco, CA 94104
Phone (b)(6) Mobile (b)(6) |Email (b)(6) @sec.gov

www.sec.gov

SECURITIES AND EXCHANGE COMMISSION

From: Schneider, Erin
To: Ro, Elena; Snyder, Kristin A.
Subject: RE: (b)(6)
Date: Wednesday, January 12, 2022 6:06:58 PM

I have to admit, that was very touching.

From: Ro, Elena (b)(6) @sec.gov>
Sent: Wednesday, January 12, 2022 2:12 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Snyder, Kristin A. (b)(6) @sec.gov>
Subject: RE (b)(6)

(b)(6) was TOTALLY crying after all (b)(6) bravado! Shows you how much (b)(6) means to people…

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, January 12, 2022 2:07 PM
To: Ro, Elena (b)(6) @sec.gov>; Snyder, Kristin A. (b)(6) @sec.gov>
Subject: RE: Marshall

Was (b)(6) crying? I think (b)(6) was crying.

From: Ro, Elena (b)(6) @sec.gov>
Sent: Wednesday, January 12, 2022 1:51 PM
To: Snyder, Kristin A. (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(6)

OMG – (b)(6) cracks me up! What a wonderful Exam tribute to (b)(6) !

From: Schneider, Erin
To: Ro, Elena
Cc: (b)(6) (b)(6)
Subject: Re: Masks on Elevators
Date: Tuesday, January 18, 2022 8:16:49 PM

Yes, thank you for letting us know, (b)(6) This is not acceptable.

Sent from my iPhone

> On Jan 18, 2022, at 5:15 PM, Ro, Elena (b)(6)@sec.gov> wrote:
>
> (b)(6). I am so sorry this happened! I'm sure (b)(6), who is awesome, will look into it. I also am adding now (b)(6) and (b)(6) for follow up. And I'm sure Erin will want to know about this, so adding her. Thank you for letting us know (b)(6)!
>
> -----Original Message-----
> From: (b)(6)@sec.gov>
> Sent: Tuesday, January 18, 2022 4:03 PM
> To: (b)(6)
> Cc: Ro, Elena (b)(6)@sec.gov>
> Subject: Masks on Elevators
>

(b)(6)

> (b)(6)

From: Schneider, Erin
To: (b)(6)
Subject: RE: (b)(6) Gifts
Date: Friday, February 11, 2022 12:09:46 PM

Thanks so much (b)(6)

From: (b)(6) (b)(6) @SEC.GOV>
Sent: Friday, February 11, 2022 8:42 AM
To: (b)(6) (b)(6) @SEC.GOV>; (b)(6) @SEC.GOV>
Subject: (b)(6) Gifts

Hello! Thanks to each of you for contributing to (b)(5); (b)(6) gifts. In addition to a commemorative plaque, we used the funds to purchase a set of SEC cufflinks as well as a nice dinner out at Abe and Louie's steakhouse, a (b)(6). The gifts are on their way to (b)(6)

Thank you all again, and have a wonderful weekend.

(b)(6) & (b)(6)
(b)(6)
(b)(6) *(cell)*
(office)
(b)(6) *@sec.gov*

From: Schneider, Erin
To: Ro, Elena
Subject: RE: (b)(6) Kudoboard
Date: Monday, March 21, 2022 12:22:28 PM

It's fine to let (b)(6) know.

From: Ro, Elena (b)(6) @sec.gov>
Sent: Monday, March 21, 2022 9:15 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: (b)(6) Kudoboard

Thanks! Can I let (b)(6) know or do you want it to be a surprise?

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, March 21, 2022 8:38 AM
To: Ro, Elena (b)(6) @sec.gov>
Subject: (b)(6) Kudoboard

I ended up ordering a poster for (b)(6) kudoboard – book was taking too long to make it look nice, etc. (b)(6) should get it in 1-2 weeks.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: MAU and others??
Date: Thursday, January 20, 2022 4:23:28 PM

Sigh. Incredibly frustrating. One of the reasons I want to get (b)(6) out here and start knowing how great this office is.

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Thursday, January 20, 2022 1:22 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: MAU and others??

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6) @sec.gov

From: Schneider, Erin
To: (b)(6)
Subject: RE: (b)(6) this Fri 2/18 & Week of 3/6
Date: Wednesday, February 16, 2022 12:38:23 PM

GOOD LUCK!!!!!

From: Katz, Marc (b)(6) @SEC.GOV>
Sent: Wednesday, February 16, 2022 9:32 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: (b)(6) this Fri 2/18 & Week of 3/6

Thanks.

(b)(6)

Be well.

Cheers!

-Marc

Marc Katz
U.S. Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, CA 94104
P: (b)(6)
(b)(6) @sec.gov

On Feb 16, 2022, at 9:26 AM, Schneider, Erin <SchneiderE@sec.gov> wrote:

Have fun!!!!

From: Katz, Marc (b)(6) @SEC.GOV>
Sent: Wednesday, February 16, 2022 9:24 AM
To: LaMarca, Susan F. (b)(6) @sec.gov>; Hefty, Andrew (b)(6) @SEC.GOV>; Han, John K (b)(6) @SEC.GOV>; (b)(6) (b)(6) @SEC.GOV>; Handoo, Osman (b)(6) @sec.gov>; Hawley, Ruth L (b)(6) @SEC.GOV>; Pendrey, Jeremy (b)(6) @sec.gov>; Zhou, David (b)(6) @SEC.GOV>; Chen, Ellen (b)(6) @SEC.GOV>; Combs, Tracy S (b)(6) @SEC.GOV>; Roeseler, Karl J. (b)(6) @sec.gov>; Bukowski, Janet L. (b)(6) @sec.gov>; Smyth, Bernard B. (Brent) (b)(6) @sec.gov>; Lee, Jason H (b)(6) @SEC.GOV>; Austin, Horace (b)(6) @SEC.GOV>; Stearns, John (b)(6) @SEC.GOV>; Persson, Jill (b)(6) @sec.gov>; Buchholz, Steven (b)(6) @sec.gov>; Jensen, Alice L. (b)(6) @sec.gov>
Cc: Winkler, Monique (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(6) this Fri 2/18 & Week of 3/6

All,

I will be out this Friday, February 18th.
Also, I will be away from work and on the East Coast from **Saturday, March 5 through Sunday, March 12. I will be back working on **Monday, March 14.**
Thanks.
-Marc
Marc Katz
U.S. Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, CA 94104
P: (b)(6)
(b)(6) @sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: Meeting with (b)(6)
Date: Monday, February 14, 2022 1:43:51 PM

I'm sort of thinking it's better if I don't. But I'm happy to do it if you think it would be helpful.

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Monday, February 14, 2022 10:25 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: Meeting with (b)(6)

I could do Wednesday but not Thursday. Do you want to do this?

From: (b)(6)
Sent: Monday, February 14, 2022 10:14 AM
To: Winkler, Monique (b)(6) @sec.gov>
Subject: Meeting with (b)(6)

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.

Monique,

I know I raised the possibility of coordinating an in person meeting—but let's make this easier and do remotely. Things will be different soon enough, and I'll look forward to seeing you all in person soon, but for now we can do a Webex.

Would this Wednesday at 4 or Thursday at 3 work?

Best,

(b)(6)

From: Schneider, Erin
To: Zuberi, Madiha
Subject: RE: mock interviews
Date: Tuesday, January 11, 2022 5:38:20 PM

Thanks soooooo much!

From: Zuberi, Madiha (b)(6) [redacted]@SEC.GOV>
Sent: Tuesday, January 11, 2022 2:36 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: mock interviews

Hi Erin,

The event went really well! The (b)(6) [redacted] seniors were super engaged and well prepared.

The participants from our end were the following:

(b)(6) [redacted]

There will be some more opportunities to participate in the spring.

Thank you,

Madiha

Sent from my iPhone

> On Jan 11, 2022, at 1:07 PM, Schneider, Erin <SchneiderE@sec.gov> wrote:
>
> Can you let me know by COB today who participated in the mock interviews and how it went? I'm going to send my normal Friday email tomorrow.

From: Schneider, Erin
To: Winkler, Monique
Cc: Buchholz, Steven; Meyerhofer, Matthew G
Subject: Re: Monday at 8:00 am?
Date: Friday, February 11, 2022 10:13:04 AM

Ok

Sent from my iPhone

On Feb 11, 2022, at 7:09 AM, Winkler, Monique (b)(6) @sec.gov> wrote:

This is the only open time I could find. (b)(5)

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6) @sec.gov

From: Schneider, Erin
To: Bustillo, Eric I.
Subject: RE: Monday''s Monthly Chair''s Meeting
Date: Monday, February 14, 2022 11:50:42 AM

Hi – you can mention that Commissioner Peirce will be in San Francisco for a Town Hall tomorrow.

From: Bustillo, Eric I. (b)(6) @SEC.GOV>
Sent: Monday, February 14, 2022 8:50 AM
To: #Regional Directors (b)(6) @SEC.GOV>; Thompson, Joy G. (b)(6) @SEC.gov>; Thompson, Scott A. (b)(6) @sec.gov>
Subject: FW: Monday's Monthly Chair's Meeting

Please let me know of anything that you want me to report from your office during the Chair's meeting later this afternoon.

Thanks,

Eric

From: Bustillo, Eric I.
Sent: Friday, February 11, 2022 2:33 PM
To: #Regional Directors (b)(6) @SEC.GOV>; Thompson, Joy G. (b)(6) @SEC.gov>; Thompson, Scott A. (b)(6) @sec.gov>
Subject: Monday's Monthly Chair's Meeting

All,

It is my turn to report on behalf of the regions at the Chair's monthly meeting on Monday. Please send me relevant information that you want me to report on about your respective offices. Your assistance is much appreciated.

Have a great weekend.

Eric

From: Schneider, Erin
To: Vasquez, Carlos
Subject: RE: More help with Views From the Top
Date: Thursday, January 13, 2022 1:44:08 PM

Perfect thank you sooooooooooooooooo much

From: Vasquez, Carlos (b)(6) [redacted]@sec.gov>
Sent: Thursday, January 13, 2022 10:44 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: More help with Views From the Top

All attached.

LMK if you need anything else.

Carlos

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, January 13, 2022 10:39 AM
To: Vasquez, Carlos (b)(6) [redacted]@sec.gov>
Subject: More help with Views From the Top

Will you send to me whatever links we sent out for: (1) BaySEC; (2) NWRC; and (3) the most recent CCO Outreach that we did? I think that will help me to pick and choose some things to include for Views from the Top. Would appreciate.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: (b)(6) Winkler, Monique; (b)(6)
Subject: RE: WSJ article on Elon Musk
Date: Thursday, February 24, 2022 3:21:23 PM
Attachments: image001.png

Oh goodness. What is happening. Thanks for forwarding, I had not seen it.

From: Johnson, Marc (b)(6) @SEC.GOV>
Sent: Thursday, February 24, 2022 12:20 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6) @sec.gov>; (b)(6) (b)(6))(6) @sec.gov>; (b)(6) (6) @sec.gov>
Subject: FW: WSJ article on Elon Musk

You've likely seen this already, forwarding just in case you haven't.
(b)(5)

From: Ausiello, David
Sent: Thursday, February 24, 2022 3:17:50 PM (UTC-05:00) Eastern Time (US & Canada)
To: ENF Front Office Counsel
Cc: Press Office
Subject: WSJ article on Elon Musk

ENF colleagues,

This WSJ story just ran and as a result we have received a lot of queries. (b)(5)
(b)(5)

https://www.wsj.com/articles/sec-probes-trading-by-elon-musk-and-brother-in-wake-of-tesla-ceos-sales-11645730528?mod=hp_lead_pos1

Respectfully,
David Ausiello
Public Affairs Specialist
Office of Public Affairs
OFFICE (b)(6)
MOBILE (b)(6)
(b)(6) @sec.gov

U.S. Securities and Exchange Commission

U.S. Securities and Exchange Commission

From: Schneider, Erin
To: Wilson, Stephanie
Subject: RE: WSJ.com: AME Church Halts Retiree Payouts Amid Probe Into Missing Funds
Date: Thursday, March 10, 2022 12:10:26 PM
Attachments: image001.png

Thank you!!!!

From: Stephanie Wilson <no-reply@share.wsj.com>
Sent: Thursday, March 10, 2022 9:04 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: WSJ.com: AME Church Halts Retiree Payouts Amid Probe Into Missing Funds

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.

View in web browser ›

The Wall Street Journal.

(b)(8)

AME Church Halts Retiree Payouts Amid Probe Into Missing Funds

By Theo Francis

Ministers worry about their savings after church says law enforcement has opened investigation

Read the Article ›

Related Articles

Associate of Pope Francis Found Guilty of Sexual Abuse in Argentina

Opinion | Memo to NATO: Secure Lviv From Russian Aggression

From: Schneider, Erin
To: Quarles, Donna M.
Cc: Budd, Sue; Jackson, Teresa M.; Miller-Pyne, Tamisha A.; Inneh, Steven; Warfield, Sauntia; Barclay, Valarie
Subject: Re: WTTS ID# 243124/243122-Exams-SFRO-Senior Officer-Associate Regional Director, SO-340-01/905-01, 22-DE-11387840-DMQ/22-MP-11387832-DMQ/22-EX-11388208-DMQ
Date: Friday, March 4, 2022 4:31:18 PM

Thank you so much!

Sent from my iPhone

On Mar 4, 2022, at 1:28 PM, Quarles, Donna M. (b)(6) @sec.gov> wrote:

Hi Sue and Erin,
The narrative requests have been submitted. The narratives are due by COB Monday, March 7, 2022. The certs will be issued no later than Wednesday, March 9th. If you have any questions, please let me know.
Thanks
Donna Quarles
Human Resources Specialist
Office of Human Resources
Talent Acquisitions Group (TAG)
(b)(6)

From: askHR (b)(6) @sec.gov>
Sent: Thursday, February 10, 2022 3:05 PM
To: Budd, Sue (b)(6) @SEC.GOV>; Schneider, Erin (b)(6) @sec.gov>
Cc: Jackson, Teresa M. (b)(6) @sec.gov>; Miller-Pyne, Tamisha A. (b)(6) @sec.gov>; Inneh, Steven (b)(6) @SEC.GOV>; Warfield, Sauntia (b)(6) @SEC.GOV>; Barclay, Valarie (b)(6) @SEC.GOV>; Quarles, Donna M. (b)(6) @SEC.GOV>
Subject: SARF1002587 - WTTS ID# 243124-Senior Officer-Associate Regional Director, SO-340-01, 22-DE-11387840-DMQ/22-MP-11387832-DMQ

Dear Schneider, Erin., and Budd, Sue

The job announcement for the subject position has been posted today via USAJOBS.

Job Title/Grade:	**Senior Officer, SK-0340 - Program Management - 01 /**
Vacancy Number:	**22-DE-11387840-DMQ** **22-MP-11387832-DMQ**
Open Period:	**02/10/2022 TO 02/24/2022**

Applicant Cut Off	**N/A**
Area of Consideration:	**The Public/Status Candidates**
Subject Matter Expert:	**TBD**
Duty Station:	**San Francisco, CA**
Appointment Type:	**FTE-Permanent**
Office:	**SFRO**
SEC Today:	**Yes**
Hiring Manager Survey:	**Please let us know how we did, by completing this survey**

The link to the job announcement:
22-DE-11387840-DMQ
https://www.usajobs.gov/GetJob/ViewDetails/636640000
22-MP-11387832-DMQ
https://www.usajobs.gov/GetJob/ViewDetails/636639500
If you have any questions about this posting, please reply back to this message.
Sincerely,
Office of Human Resources
Ref:MSG14719624

From: Schneider, Erin
To: Kudoboard
Subject: RE: Your Kudoboard receipt (b)(6)
Date: Monday, March 21, 2022 7:36:32 PM

Okay thanks! If you need to follow up with me, can you please use this email address for me – (b)(6) Would greatly appreciate it.

From: (b)(6) <help@kudoboard.com>
Sent: Monday, March 21, 2022 4:10 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: Your Kudoboard receipt (b)(6)

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 Erin,

Thanks so much for getting in touch.

After review, it looks like your poster order was processed successfully within our system.

Please let us know if you have additional questions!

Best,

The Kudoboard Team

Visit our Support Center: https://support.kudoboard.com/hc/en-us

From: Schneider, Erin
To: Tomars, Michael; Haddad, Edward G.; Schulman, Alice; Ta, Thu Bao; Wilson, Stephanie
Subject: Canceled: Weekly Catch-Up Meeting with EXAMS ARDs
Importance: High

Hi! I hope this time will work in the midmorning slot. From my perspective, I would love to use this timeslot to catch up on what's going on in the program as well as any issues that you guys want to discuss. Please also let me know what type of information would be helpful for me to provide to you guys. I know it will be hard for a little bit because (b)(6) was so plugged into the national organization but we will get through this together!

It's a recurring meeting until we fill (b)(6) s spot so please accept the series!

From: Schneider, Erin
To: Buddhavarapu, Srinivas
Subject: Declined: TCR Oversight Board Meeting

I'm sorry, but I have a conflict at this time.

From: Schneider, Erin
To: Winkler, Monique
Subject: FW: Top 5 SEC Enforcement Developments for January 2022 (ATTORNEY ADVERTISING)
Date: Thursday, February 3, 2022 4:30:40 PM

From: Morrison & Foerster <MoFoNews@mofo.com>
Sent: Thursday, February 3, 2022 12:08 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Top 5 SEC Enforcement Developments for January 2022 (ATTORNEY ADVERTISING)

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.

CLIENT ALERT

Top 5 SEC Enforcement Developments for January 2022

In order to provide an overview for busy in-house counsel and compliance professionals, we summarize below some of the most important and interesting SEC enforcement developments from the past month, with links to primary resources. This month we ask:

- What remedial measures actually matter to the SEC?
- What are the driving principles animating leadership in the SEC's Enforcement Division?
- How has the SEC fared in court, especially in the context of its more creative insider trading cases?
- What can we learn from the Elizabeth Holmes trial?

Read our

Partner
jchoi@mofo.com

Partner
mbirnbaum@mofo.com

Partner
hmarlier@mofo.com

From: Schneider, Erin
To: Winkler, Monique; Vasquez, Carlos; LaMarca, Susan F.
Subject: FW: U.S. Attorney"s Office Corporate and Securities Fraud Chief William Frentzen Joins Morrison & Foerster (ATTORNEY ADVERTISING)
Date: Thursday, January 6, 2022 3:16:34 PM

Fascinating

From: Morrison & Foerster <MoFoNews@mofo.com>
Sent: Thursday, January 6, 2022 12:06 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: U.S. Attorney's Office Corporate and Securities Fraud Chief William Frentzen Joins Morrison & Foerster (ATTORNEY ADVERTISING)

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.

ANNOUNCEMENT

U.S. Attorney's Office Corporate and Securities Fraud Chief William Frentzen Joins Morrison & Foerster

Morrison & Foerster is pleased to announce that has joined the firm as a partner in its , , and

Group. Mr. Frentzen brings to the firm more than two decades of prosecutorial experience investigating and trying high-profile criminal cases, including spending the last 12 years in senior leadership positions in the U.S. Attorney's Office for the Northern District of California (NDCA). He has successfully tried more than 40 federal felony jury cases around the U.S. over the span of his 24-year career.

During his tenure at the U.S. Attorney's Office for the NDCA, Mr. Frentzen investigated and tried some of the longest and most complex criminal cases in the Northern District of California, including securing the conviction of Autonomy's Chief Financial Officer and bringing charges and extradition proceedings against its CEO and founder in connection with the largest fraud case in the history of the NDCA. He also supervised the investigation of high profile trade secrets cases and prosecuted pioneering cryptocurrency cases as well as some of the most significant cybersecurity cases in the District, including the hacking of a significant social media platform that led to intrusion and fraud through "verified" VIP accounts.

Mr. Frentzen most recently served as Chief of the Corporate and Securities Fraud Section within the U.S. Attorney's Office for the NDCA. Before that, Mr. Frentzen served as Senior Trial Counsel, where he was responsible for supporting the office in all litigation- and trial-related matters, reporting directly to the Criminal Chief and the United States Attorney. He also served as Chief of the Organized Crime Strike Force, and in that role, Mr. Frentzen developed the country's first Cryptocurrency Crime Coordinator position. He has also served as Associate Independent Counsel in the Office of Independent Counsel and subsequently as an Assistant United States Attorney in the Southern District of Georgia and the District of Columbia.

"Serving in the Bay Area and in Washington, D.C. has provided me opportunities to investigate, litigate, and supervise a wide variety of complex white collar matters — securities and accounting fraud in publicly traded companies, cybersecurity breaches involving corporate hacks, trade secret theft of cutting-edge technology, public corruption at the federal and local level, cryptocurrency offenses involving billions of dollars, sophisticated health care fraud, international organized crime, and more. Trying those types of cases in front of some of the most diverse and savvy juries and judges around the country has been enriching. I am excited to bring that experience to Morrison & Foerster, an outstanding global law firm with deep roots in the Bay Area, a similarly broad range of expertise in cutting-edge and emerging industries, and an excellent reputation for litigation."

Mr. Frentzen adds to the deep bench of senior government officials that the firm has added in recent years. He is the 10th former senior official to join Morrison & Foerster since the start of 2021, and the sixth to join the Securities Litigation, Enforcement, and White Collar Defense and Investigations + White Collar Defense Groups, together with Adam Braverman — who joined the firm in California, having previously served as the United States Attorney for the Southern District of California — Brian K. Kidd, Brandon L. Van Grack, Katherine (Kate) Driscoll, and Nathan Reilly.

Partner
wfrentzen@mofo.com

From: Schneider, Erin on behalf of Best, Richard R
To: Winkler, Monique; #Regional Directors
Cc: Layne, Michele W.; Gibson, Kelly L. (PLRO); Gottschall, Kurt L.; Peavler, David L.; Bustillo, Eric I.; Levenson, Paul; Schneider, Erin; Levin, Joel R.; Jones, Nekia; Gregus, Daniel; Beard, Tanya G.
Subject: FW: Updated Monthly RD Call

-----Original Appointment-----
From: Best, Richard R (b)(6)@SEC.GOV>
Sent: Friday, July 10, 2020 10:31 AM
To: Best, Richard R; #Regional Directors
Cc: Layne, Michele W.; Gibson, Kelly L. (PLRO); Gottschall, Kurt L.; Peavler, David L.; Bustillo, Eric I.; Levenson, Paul; Schneider, Erin; Levin, Joel R.; Jones, Nekia; Gregus, Daniel; Beard, Tanya G.
Subject: Updated Monthly RD Call
When: Occurs the second Friday of every 1 month(s) effective 7/10/2020 from 1:30 PM to 2:30 PM (UTC-05:00) Eastern Time (US & Canada).
Where: WebEx

All,

This is the recurring meeting for the RD call with a new WebEx number. I will cancel the old one.

February ARO

March CHRO

April DRO

May LARO

June MIRO

July NYRO

August PLRO

September SLRO

October SFRO

November FWRO

December BRO

-- Do not delete or change any of the following text. --

When it's time, join your Webex meeting here.

Join meeting (b)(6)

More ways to join:

Join from the meeting link

(b)(6)

Join by meeting number

Meeting number (access code): (b)(6)

Meeting password: (b)(6) (from phones and video systems)

Tap to join from a mobile device (attendees only)
(b)(6) USA Toll 2
US Toll
Some mobile devices may ask attendees to enter a numeric meeting password.

Join by phone
(b)(6) USA Toll 2
US Toll
Global call-in numbers (b)(6)

Join from a video system or application
Dial (b)(6)

Join using Microsoft Lyne or Microsoft Skype for Business

Dial (b)(6)

If you are a host, click here (b)(6) to view host information.

Need help? Go to https://help.webex.com <https://help.webex.com>

From: Schneider, Erin
To: Beard, Tanya G.; Best, Richard R; Bustillo, Eric I.; Gottschall, Kurt L.; Gregus, Daniel; Jones, Nekia; Layne, Michele W.; Levenson, Paul; Peavler, David L.; Schneider, Erin
Subject: FW: UPS Update: Package Scheduled for Delivery Tomorrow
Date: Wednesday, February 9, 2022 4:17:22 PM

Confirmation that (b)(6) plaque should be arriving at (b)(house tomorrow – so right on time for our Friday call

From: UPS <pkginfo@ups.com>
Sent: Wednesday, February 9, 2022 1:00 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: UPS Update: Package Scheduled for Delivery Tomorrow

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.

UPS

Hi,

Your package is arriving tomorrow.

From **NEW DIMENSION, INC**

Get notifications for UPS packages coming to you.

Estimated Delivery

Thursday 02/10/2022
2:45 PM - 4:45 PM

Track Your Package ›

Change Delivery

UPS Ground

(b)(6)

You will be prompted to accept Terms and Conditions to change delivery.

From: Schneider, Erin
To: help@kudoboard.com
Subject: FW: Your Kudoboard receipt (b)(6)
Date: Monday, March 21, 2022 11:40:58 AM

Hi – I submitted this order but when I saw it go through I think I had the wrong expiration date for my credit card. Can you please call me to make sure the order goes through? (b)(6). Erin

From: Kudoboard <receipts+acct_177UebE3c9sWyeru@stripe.com>
Sent: Monday, March 21, 2022 8:37 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Your Kudoboard receipt (b)(6)

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: so much background...
Date: Wednesday, February 16, 2022 12:30:15 PM

I just emailed J that I loved (b)(6) patience.

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Wednesday, February 16, 2022 9:27 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: so much background...

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6) @sec.gov

From: Schneider, Erin
To: Buchholz, Steven; Vasquez, Carlos
Subject: RE: sorry I missed the chat timing note!
Date: Tuesday, March 15, 2022 3:29:44 PM

No problem! It was really interesting.

From: Buchholz, Steven (b)(6)@sec.gov>
Sent: Tuesday, March 15, 2022 12:28 PM
To: Vasquez, Carlos (b)(6)@sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
Subject: sorry I missed the chat timing note!

Was too focused on not running late (given that I always do!). Thanks anyway. At least we got everyone a few minutes to contribute.

From: Schneider, Erin
To: (b)(6)
Subject: RE: staff meeting today
Date: Tuesday, February 22, 2022 12:06:57 PM

Thank you!

From: (b)(6) @sec.gov>
Sent: Tuesday, February 22, 2022 9:07 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: staff meeting today

Sure – no problem!

(b)(6)
U.S. Securities and Exchange Commission
San Francisco Regional Office
Senior Staff Accountant
(b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, February 22, 2022 9:06 AM
To: (b)(6) @sec.gov>
Subject: staff meeting today

Hi - -I know it's last minute, but are you available to do a diversity committee update at the staff meeting today? If not, no worries at all – I should have asked last week. Thanks!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: Still a good time?
Date: Friday, February 25, 2022 1:33:16 PM

Want to chat now since I thought it was 1030?

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Friday, February 25, 2022 10:33 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Still a good time?

yes

> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Friday, February 25, 2022 10:32 AM
> **To:** Winkler, Monique (b)(6) @sec.gov>
> **Subject:** Still a good time?

From: Schneider, Erin
To: Ro, Elena
Subject: RE: System Wide BART Delay & 30 minute delays CalTrain
Date: Tuesday, March 15, 2022 11:33:21 AM

I was JUST thinking that. That would have been horrible.

From: Ro, Elena (b)(6) @sec.gov>
Sent: Tuesday, March 15, 2022 8:33 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: System Wide BART Delay & 30 minute delays CalTrain

Good thing you stayed home today!

From: San Francisco Federal Executive Board <SFFEB@dol.gov>
Sent: Tuesday, March 15, 2022 8:28 AM
To: Contact SFFEB <ContactSFFEB@dol.gov>
Subject: System Wide BART Delay & 30 minute delays CalTrain

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.

TO: Bay Area Agency Directors
SFFEB's Governing Council
SFFEB's Human Resources Council
RE: Major BART Delay
https://511.org/alerts/critical

BART

As of 7:46 AM, BART reports major delays system wide in all directions, due to a disabled train between Lake Merritt and Fruitvale.

CALTRAIN

As of 8:05 AM, Caltrain reports delays up to 30 minutes on all trains. **Click here**(opens in a new window) for delay status on a specific train

511ALERT

https://511.org/alerts/emergencies/511Alert

Text 511Alert to 888-777 to get a free heads-up on transportation emergencies

511ALERT provides alerts and advisories about transportation emergencies by text message (SMS) to registered mobile devices. The alert system is powered by Nixle, a recognized leader in mass notification systems and allows 511 to provide alerts and advisories in a reliable manner. Before signing up, please review the terms of the Nixle privacy policy(opens in a new window) to determine how Nixle collects, uses, and/or retains personally identifiable information.

(b)(6)

San Francisco Federal Executive Board
Work (b)(6)
Cell (b)(6)
Email (b)(6)
Website SanFrancisco.FEB.gov
LinkedIn www.linkedin.com/in/sffeb
Facebook www.facebook.com/SanFranFEB
Twitter twitter.com/FEBSanFrancisco
Funders: U.S. Department of Labor & General Services Administration

60th
Anniversary

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: TC reviews
Date: Thursday, February 10, 2022 6:30:26 PM

(b)(5) [redacted]

From: Winkler, Monique (b)(6) [redacted]@sec.gov>
Sent: Thursday, February 10, 2022 8:58 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: TC reviews

(b)(5) [redacted]

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6) [redacted]
Fax: 415.705.2500
(b)(6) [redacted]@sec.gov

From: Schneider, Erin
To: Ro, Elena
Subject: RE: THANK YOU!!!!
Date: Wednesday, January 26, 2022 1:55:30 PM

Thanks!

From: Ro, Elena (b)(6) @sec.gov>
Sent: Wednesday, January 26, 2022 10:43 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: THANK YOU!!!!
Here is Jerry's response re your Zoom later today in the office. He thinks you'll probably be okay. Famous last words.
Also, speaking with Navi today, he has mentioned he has seen this specific WebEx issue before for large group meetings. It may be a load issue. Even though we have attendees connecting remotely we all are connecting to the same server in DC. Since Erin will be connecting to Zoom he doesn't think it is an issue. I am still waiting for the network folks to confirm.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, January 26, 2022 10:37 AM
To: Ro, Elena (b)(6) @sec.gov>; Uclusin, Wilda A. (b)(6) @sec.gov>
Subject: RE: THANK YOU!!!!
Wilda is ALWAYS creative and thoughtful!

From: Ro, Elena (b)(6) @sec.gov>
Sent: Wednesday, January 26, 2022 10:37 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Uclusin, Wilda A. (b)(6) @sec.gov>
Subject: RE: THANK YOU!!!!
Yes Wilda, so creative and thoughtful! Thank you!

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, January 26, 2022 10:32 AM
To: Uclusin, Wilda A. (b)(6) @sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: THANK YOU!!!!
Wilda – thank you so much for putting together the powerpoint for (b)(6) . I'm going to send it along to (b)(6 when I send (b)(6) the kudoboard. It didn't go off exactly as Elena had discussed given the issues with the network – but we still got to see all of the pictures! Really appreciate!
Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Combs, Tracy S; Best, Richard R; Gregus, Daniel
Subject: RE: Thank You
Date: Thursday, March 17, 2022 6:07:11 PM

Thank you Tracy!!!!!

From: Combs, Tracy S (b)(6) @SEC.GOV>
Sent: Thursday, March 17, 2022 2:59 PM
To: Best, Richard R (b)(6) @SEC.GOV>; Gregus, Daniel (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>
Subject: Thank You

Dear Dan, Erin, and Rich,

(b)(6)

All the best,

Tracy

From: Schneider, Erin
To: Cooper, Cindy N.
Subject: RE: the curse of the Four Pillars Award :-)
Date: Wednesday, March 2, 2022 2:15:46 PM

I know, I thought about that as well . . . . . .

From: Cooper, Cindy N. (b)(6) @sec.gov>
Sent: Wednesday, March 2, 2022 11:15 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: the curse of the Four Pillars Award :-)

(b)(6)

Cindy Cooper
U.S. Securities and Exchange Commission
San Francisco Regional Office
Senior Staff Accountant
(b)(6)

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: Theranos - Holmes juror interview
Date: Thursday, January 6, 2022 1:37:10 PM

Hope (b)(6); (b)(7)(C) sees this. Where in the world is (b)(6) settlement offer?

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Thursday, January 6, 2022 10:25 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: Theranos - Holmes juror interview

From: Winkler, Monique
Sent: Thursday, January 6, 2022 9:28 AM
To: (b)(6) (b)(6) @SEC.GOV>; (b)(6) (b)(6) @sec.gov>; (b)(6) (b)(6) @SEC.GOV>
Subject: Theranos - Holmes juror interview

ICYM:
https://abcnews.go.com/US/exclusive-juror-speaks-convicting-elizabeth-holmes/story?id=82082789

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6) @sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: these ideas
Date: Tuesday, February 1, 2022 4:12:20 PM

I hear you. I think you said it and we definitely need to stay on top of this.

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Tuesday, February 1, 2022 12:51 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: these ideas

are making me very nervous

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6) @sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: this happens
Date: Monday, February 14, 2022 5:32:06 PM

yes

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Monday, February 14, 2022 2:30 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: this happens

(b)(6)

> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Monday, February 14, 2022 2:28 PM
> **To:** Winkler, Monique (b)(6) @sec.gov>
> **Subject:** this happens

From: Schneider, Erin
To: (b)(6)
Cc: Ro, Elena
Subject: RE: this Wed
Date: Monday, February 14, 2022 8:09:23 PM

Hi (b)(6) – of course, thanks for letting us know!

From: (b)(6))(6) @sec.gov>
Sent: Monday, February 14, 2022 5:04 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: this Wed

Hi Erin,

How are you? (b)(6) and was wondering if I can come into the office either before or after (b)(6) (b)(6)
(b)(6)

From: Schneider, Erin
To: Uclusin, Wilda A.
Cc: Winkler, Monique
Subject: Re: Thx Ladies, hope the speech event goes well today. EOM
Date: Thursday, March 3, 2022 12:45:59 AM

Thanks Wilda! Mine and Gurbir's went well! Monique tomorrow!

Sent from my iPhone

> On Mar 2, 2022, at 12:38 PM, Uclusin, Wilda A. (b)(6) @sec.gov> wrote:

From: Schneider, Erin
To: Uclusin, Wilda A.
Subject: Re: Tidbits
Date: Friday, March 25, 2022 8:14:35 PM

(b)(6)

Sent from my iPhone

On Mar 25, 2022, at 3:05 PM, Uclusin, Wilda A. (b)(6) @sec.gov> wrote:

Thanks Erin! (b)(6) Sorry didn't catch.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, March 25, 2022 2:46 PM
To: Uclusin, Wilda A. (b)(6) @sec.gov>
Subject: RE: Tidbits

(b)(6)

From: Uclusin, Wilda A. (b)(6) @sec.gov>
Sent: Thursday, March 24, 2022 1:47 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Tidbits

Hi Erin, (b)(6)
and
Can you confirm the address that you prefer to receive packages (free from pesky porch pirates & the like)?

From: Schneider, Erin
To: Persson, Jill; #SFRO - Teacher Outreach
Subject: RE: TIO Accomplishments
Date: Thursday, March 10, 2022 11:32:33 PM

Thank you so much for sending this around, Jill! This deck brought a few tears when I saw some of the pictures. What an AMAZING amount of work this group accomplished – all on its own. So awesome.

From: Persson, Jill (b)(6) @sec.gov>
Sent: Tuesday, March 8, 2022 1:56 PM
To: #SFRO - Teacher Outreach (b)(6) @SEC.GOV>
Subject: TIO Accomplishments
Hello SFRO Teacher Team,
Today was our last monthly meeting and we had a little presentation. As some of you know, our efforts are being rolled into SFRO Investor Services. Just taking a look back at the last 5 years, I wanted to share with all of you some of the highlights of what we have accomplished. The attached slide deck has our big wins. There was so much more hard graft that went into this project and happily the result is that we did some good for California educators.
Thank you for your dedication and enthusiasm. It was so much fun and inspiring to work on this project with all of you fantastic volunteers.
My very best to all of you and much gratitude.
-Jill

From: Persson, Jill
Sent: Tuesday, March 8, 2022 12:47 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>; Vasquez, Carlos (b)(6) @sec.gov>; Wilson, Stephanie (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>
Subject: Slide Deck
Hello, Here is the slide deck I will be showing today at 1PM. Just wanted to make sure you have a copy if you ever need a high level of what we did. Thanks, Jill

From: Schneider, Erin
To: Thompson, Joy G.
Subject: RE: Today
Date: Friday, February 18, 2022 10:50:45 AM

Ok. (b)(6) . . . . . xoxo

From: Thompson, Joy G. (b)(6) @SEC.gov>
Sent: Friday, February 18, 2022 7:49 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: Today

(b)(6) (b)(6)
(b)(6) (b)(6)
(b)(6)

Thanks

Joy G. Thompson
Associate Director, Examinations
Philadelphia Regional Office
U. S. Securities and Exchange Commission
(b)(6)

On Feb 18, 2022, at 10:45 AM, Schneider, Erin <SchneiderE@sec.gov> wrote:

Joy – I saw that you accepted my invite for the OIG today. Are you (b)(6) ? I'm happy to reschedule it to next week.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Ro, Elena; Winkler, Monique
Subject: RE: Tomorrow
Date: Thursday, March 17, 2022 12:24:18 AM

Xoxoxoxoxoxoxoxoxoxoxoxoxoxo to both of you

-----Original Message-----
From: Ro, Elena (b)(6) @sec.gov>
Sent: Wednesday, March 16, 2022 8:52 PM
To: Winkler, Monique (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Tomorrow

I hope we both sleep soon! :)

-----Original Message-----
From: Winkler, Monique (b)(6) @sec.gov>
Sent: Wednesday, March 16, 2022 8:44 PM
To: Ro, Elena (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
Subject: Tomorrow

(b)(6) I'll let you know in the morning.

From: Schneider, Erin
To: Huchro, Brian
Subject: RE: Town Hall with Commissioner Peirce and her counsel, Coy Garrison
Date: Monday, February 14, 2022 6:47:45 PM

Will do!

From: Huchro, Brian <(b)(6)@SEC.GOV>
Sent: Monday, February 14, 2022 3:42 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Town Hall with Commissioner Peirce and her counsel, Coy Garrison
Ok. Stop by 27 and say hello, if time permits.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, February 14, 2022 3:39 PM
To: Huchro, Brian (b)(6)@SEC.GOV>
Cc: Ro, Elena (b)(6)@sec.gov>
Subject: RE: Town Hall with Commissioner Peirce and her counsel, Coy Garrison
Thanks Brian – appreciate. No need to come into (b)(6) – attending virtually is perfect!

From: Huchro, Brian (b)(6)@SEC.GOV>
Sent: Monday, February 14, 2022 3:29 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Town Hall with Commissioner Peirce and her counsel, Coy Garrison
Hi Erin,
I plan to be in the office tomorrow. If it is helpful to have an additional ENF staffer in the room tomorrow, please let know. Otherwise, I'll "see" you on WebEx tomorrow.
Thanks.
-----Original Appointment-----
From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, February 1, 2022 2:22 PM
To: Schneider, Erin; #SFRO\EVERYONE
Cc: Finley, Theis; Jackson, Teresa M.; Winkler, Monique; Kim, Cherrie; Hong, Victor W.; Johnston, Janet L.; Yu, Benjamin; Marchi, James J.; Quintanilla, Silvana; Roeseler, Karl J.; Austin, Horace; Darfler, Brad; Ro, Elena; Oliver, Aminah M; Tomars, Michael; Filipp, Chrissy; Lyttle, Jeffrey A.; OCallaghan, Sheila E.; Meyerhofer, Matthew G; Hefty, Andrew; Purcell, Kathleen; Hauger, Craig W.; Kerr, Ainsley; Wolz, Steven R.; (b)(6) Bukowski, Janet L.; Boodoo, Crystal; Chee, Ada C.; Lee, Jennifer J.; Donohue, Mark J.; Varholik, Steven; Lawson, Cheryl M.; O'Toole, Matthew M.; Linvill, Michael H.; Hawley, Ruth L; Moodie, Marilyn; Ta, Thu Bao; Vasquez, Carlos; Hurtado, Arturo; Kim, Sallie; SFRO-Reception-Desk; Stearns, John; Huchro, Brian; Fleet, Katherine A; Brannon, Nadia P; Ivanchenko, Roman; Schulman, Alice; Schihl, Michael; Zuberi, Madiha; Pease, Eric; Clark, Raymond; Zundel, Jennet; Moreno, Anthony; Mittelman, Charito; To, Karah; Andrews, Robin; Davis, Tracy L.; Zhen, Jerry; Diep, Janny; Zhou, David; Dutton, Thomas J.; Hellman, Leonard E; Marlow, Heather E.; Eme, Thomas J.; Gould, Erica R.; Flanders, Ricky; Garrison, Charles
Subject: Town Hall with Commissioner Peirce and her counsel, Coy Garrison
When: Tuesday, February 15, 2022 9:30 AM-10:30 AM (UTC-08:00) Pacific Time (US & Canada).
Where: UPDATED -- (b)(6) -- and WebEx Below

When it's time, join the Webex meeting here.

Join meeting

More ways to join:

Join from the meeting link

(b)(6)

Join by meeting number

Meeting number (access code): (b)(6)

Meeting password: (b)(6) from phones and video systems)

Tap to join from a mobile device (attendees only)

(b)(6) USA Toll 2

US Toll

Some mobile devices may ask attendees to enter a numeric password.

Join by phone

(b)(6) USA Toll 2

US Toll

Global call-in numbers

Join from a video system or application

Dial (b)(6)

Join using Microsoft Lync or Microsoft Skype for Business

Dial (b)(6)

If you are a host, click here to view host information.

Need help? Go to https://help.webex.com

From: Schneider, Erin
To: Filipp, Chrissy; Ro, Elena
Subject: RE: Town Hall with Comm"r Peirce
Date: Monday, February 14, 2022 1:15:30 PM

Chrissy – yes, you can. Thanks for reaching out and letting us know in advance!

From: Filipp, Chrissy (b)(6) @SEC.GOV>
Sent: Friday, February 11, 2022 9:15 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>
Subject: Town Hall with Comm'r Peirce

Hi Erin and Elena,

Hope your Friday is going well! I was wondering if I could join the town hall in person at SFRO on Tuesday—do we have any seats open? If it's better to stay home for COVID concerns, I understand.

Thank you,
Chrissy

Chrissy Filipp
Senior Counsel, Division of Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, 28th Floor
San Francisco, CA 94104
O: (b)(6)
F: 415-705-2501
(b)(6) @sec.gov

From: Schneider, Erin
To: Davis, Tracy L.
Cc: Ro, Elena
Subject: RE: Town Hall
Date: Tuesday, February 15, 2022 2:23:49 PM

Well I guess that's something!

From: Davis, Tracy L. (b)(6) @sec.gov>
Sent: Tuesday, February 15, 2022 11:20 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: RE: Town Hall

You looked far away. But, we could hear it really well.

Tracy L. Davis|Assistant Regional Director, Division of Enforcement|
U.S. Securities and Exchange Commission|
44 Montgomery Street, Suite 2800 San Francisco, CA 94104|
Ph (b)(6) |email (b)(6) @SEC.GOV

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, February 15, 2022 11:19 AM
To: Davis, Tracy L. (b)(6) @sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: Town Hall

Tracy – how did the Town Hall look on the WebEx? Were Commissioner Peirce and I far away or could you see her?

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: [redacted]
Cc:
Subject: Re: [redacted]
Date: Tuesday, February 1, 2022 10:56:47 AM

Thank you!

Sent from my iPhone

> On Feb 1, 2022, at 5:05 AM, [redacted]@sec.gov> wrote:
>
> Erin,
>
> [redacted]
>
> Regards,
>
> [redacted]

From: Schneider, Erin
To: (b)(6)
Subject: RE: (b)(6) 2021Review.docx
Date: Friday, March 11, 2022 6:00:00 PM

I'm so sorry I didn't get it to you earlier!!!!

From: (b)(6))(6) @sec.gov>
Sent: Friday, March 11, 2022 2:49 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: (b)(6) 2021Review.docx

Ms. Erin: I appreciate this & I appreciate you. Many thanks! (b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, March 11, 2022 2:01 PM
To: (b)(6))(6) @sec.gov>
Subject: (b)(6) 2021Review.docx

Here you go!

(b)(6)

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: ugh
Date: Wednesday, February 9, 2022 2:39:12 PM

We're never going to live that down. I told (b)(6) how much I appreciated (b)(6) continuing to call out the 415 number.

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Wednesday, February 9, 2022 11:37 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>
Subject: ugh

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6) @sec.gov

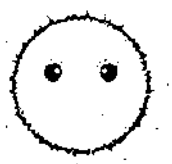
From: Schneider, Erin
To: Murray, Cheryl
Subject: RE: Ummm...
Date: Friday, March 25, 2022 6:54:55 PM

Ha ha ha ha ha ha ha ha they totally are! I must have left them there in my running about.
(b)(6) - goodbye. (b)(6)
(b)(6)
(b)(6) I really appreciate all of the work you put into SFRO.

From: Murray, Cheryl (b)(6)@sec.gov>
Sent: Thursday, March 24, 2022 10:00 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Ummm...

Good day and good cheer;
Are the inter-office envelopes on the chair outside of my office yours?

Cheryl Murray
Data and Program Analyst
(b)(6)



From: Schneider, Erin
To: Uclusin, Wilda A.; Ro, Elena
Subject: RE: (b)(6) ic whereabouts
Date: Thursday, January 13, 2022 7:54:33 PM

Feel like (b)(6) was still here so would it be close in time to (b)(6) going away party or (b)(6) ast holiday party?

From: Uclusin, Wilda A. (b)(6) @sec.gov>
Sent: Thursday, January 13, 2022 4:18 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>
Subject: (b)(6) ic whereabouts

Ladies, do you remember what event Ms. Kristin (b)(6) ?

From: Schneider, Erin
To: Ro, Elena; Snyder, Kristin A.; Winkler, Monique
Subject: RE: Union Questions
Date: Tuesday, January 11, 2022 1:28:03 PM

Thanks Elena

From: Ro, Elena (b)(6) @sec.gov>
Sent: Tuesday, January 11, 2022 10:25 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Snyder, Kristin A. (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>
Subject: FW: Union Questions

Just FYI

From: Ro, Elena
Sent: Tuesday, January 11, 2022 9:54 AM
To: Chen, Ellen (b)(6) @SEC.GOV>
Cc: Lyttle, Jeffrey A. (b)(6) @sec.gov>
Subject: RE: Union Questions

Thanks for reaching out Ellen! My answers are below. Please contact me any time.

From: Chen, Ellen (b)(6) @SEC.GOV>
Sent: Tuesday, January 11, 2022 9:47 AM
To: Ro, Elena (b)(6) @sec.gov>
Cc: Lyttle, Jeffrey A. (b)(6) @sec.gov>
Subject: Union Questions

Elena,

(b)(5)

Thanks Elena!

Ellen

Ellen Chen
Division of Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, CA 94104
P: (b)(6)
(b)(6)@sec.gov

From: Schneider, Erin
To: Grewal, Gurbir
Subject: RE: Update -- Schneider
Date: Tuesday, February 22, 2022 1:33:26 PM

I'll put you in touch with our ARDO who can help facilitate the office part. How many days will you be here? Are you interested in doing some sort of Town Hall (i.e. affirmatively letting folks know you will be in SF) or keep it more informal just in terms of who happens to be in the office? Monique, Elena (our ARDO) and I would love to meet you in person.

From: Grewal, Gurbir (b)(6) @SEC.GOV>
Sent: Tuesday, February 22, 2022 10:25 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Update -- Schneider
Got it.

Separately, I will be in SF next week for ABA and plan to try to work out of the office. Who do I contact to make those arrangements. And if schedules permit, would be nice to see you and whoever else is (and feels comfortable being around).

Thx.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, February 22, 2022 11:18 AM
To: Grewal, Gurbir (b)(6) @SEC.GOV>
Subject: Update -- Schneider
Told (b)(6) this already – but I planned to reach out to the Commissioners today to tell them I'm leaving and then tell the San Francisco office tomorrow. So after tomorrow it will be well-known.
Thanks,
Erin

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: (b)(6)
Date: Wednesday, January 12, 2022 2:29:59 PM

Fascinating. Thanks for letting me know.

From: Winkler, Monique (b)(6)@sec.gov>
Sent: Wednesday, January 12, 2022 11:12 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(6)

I just talked to (b)(6). (b)(6) is the new chief of the Corporate Securities Division (replacing (b)(6) and (b)(6) will be (b)(6) deputy.

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6)@sec.gov

From: Schneider, Erin
To: Snyder, Kristin A.
Subject: RE: Views From the Top -- (b)(6)
Date: Friday, January 21, 2022 12:41:22 PM

(b)(6)

From: Snyder, Kristin A. (b)(6) @sec.gov>
Sent: Friday, January 21, 2022 9:37 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Views From the Top -- (b)(6)

(b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, January 21, 2022 9:35 AM
To: Snyder, Kristin A. (b)(6) @sec.gov>
Subject: Views From the Top -- (b)(6)

Have Views From the Top on Weds evening (the 26th). (b)(6)

(b)(6)

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: Views from the Top 2022
Date: Thursday, January 6, 2022 11:47:49 AM

No objection.

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Thursday, January 6, 2022 8:44 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: Views from the Top 2022

Unless you have an objection I will send this around to ENF staff.

From: Lee, Jennifer J. (b)(6) @sec.gov>
Sent: Thursday, January 6, 2022 8:39 AM
To: Winkler, Monique (b)(6) @sec.gov>
Subject: FW: Views from the Top 2022

Hey Monique – Just passing this along in case you want to distribute; I'm happy to as well.

From: West, Hartley <Hartley.West@dechert.com>
Sent: Wednesday, January 5, 2022 9:50 PM
To: Lee, Jennifer J. (b)(6) @sec.gov>
Subject: FW: Views from the Top 2022

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.

Dear Jennifer,

I hope that you are staying well and had a good holiday. I am forwarding the invitation for Views from the Top and wonder if you would mind circulating to your colleagues at the SEC, as Erin is one of the panelists. The one plus of holding this by Zoom is that last year we had more DOJ and SEC attorneys able to attend!

Best,

Hartley

Hartley M.K. West
Partner

Dechert LLP
One Bush Street, Suite 1600, San Francisco, CA 94104
+(b)(6)
633 West 5th Street, Suite 4900, Los Angeles, CA 90071
+(b)(6)
hartley.west@dechert.com
dechert.com

From: West, Hartley
Sent: Wednesday, January 5, 2022 3:11 PM
To: West, Hartley <Hartley.West@dechert.com>
Cc: (b)(6) @dechert.com>
Subject: Views from the Top 2022

All,

Happy New Year! Please join us for **Views from the Top 2022 by Zoom on January 26, at**

5:30-7:00 p.m. (invitation attached), followed by virtual mingling via breakout sessions in lieu of our usual reception. Our esteemed panelists are (b)(6) SEC Regional Director Erin Schneider, and (b)(6) and this year's moderator is the Honorable Yvonne Gonzalez Rogers. Please RSVP to (b)(6) @Dechert.com (copied) by January 24 for the Zoom link. As always, feel free to forward the invitation to colleagues, friends, etc.

Best,

Hartley

Hartley M.K. West
Partner

Dechert LLP
One Bush Street, Suite 1600, San Francisco, CA 94104
(b)(6)
633 West 5th Street, Suite 4900, Los Angeles, CA 90071
(b)(6)
hartley.west@dechert.com
dechert.com

From: Schneider, Erin
To: Boutin, Peter
Subject: RE: Views from the Top/Well done!
Date: Friday, January 28, 2022 12:20:27 PM

Thanks so much, Peter – always hard to tell how it was received and especially so with Zoom! Thanks for your words about Judy. It was a very difficult time and I'm so glad Hartley gave her a shout-out at the event. Hope all is well!
Erin

From: Boutin, Peter <Peter.Boutin@kyl.com>
Sent: Thursday, January 27, 2022 1:37 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Views from the Top/Well done!

Dear Erin,
Just a note to commend you on another great Views from the Top program. You and your fellow speakers provided a huge amount of timely and important information. The allotted 90 minutes sped by very quickly, which is always a sign of an excellent program.
Thank you for taking the time to prepare for and present at the Views program. The FBA offers quite a few programs each year, but Views is always one of our Chapter's favorites.
On a less happy note, I was terribly sorry to hear the news about Judy. She preceded me as President of our local FBA chapter by a few years, but she was always available to weigh-in with thoughtful input on Chapter business and activities. She will be missed by an awful lot of people.
I hope 2022 has gotten off to a good start for you.
-Peter

Peter R. Boutin
Keesal, Young & Logan
450 Pacific Avenue, San Francisco, CA 94133
415.398.6000 (office) | 415.981.0136 (fax)
peter.boutin@kyl.com | www.kyl.com

From: Schneider, Erin
To: West, Hartley
Subject: RE: Views Logistics
Date: Wednesday, January 26, 2022 8:23:39 PM

Hi, it says waiting for host to start the meeting. Let me know if I should try another link?

From: West, Hartley <Hartley.West@dechert.com>
Sent: Wednesday, January 26, 2022 11:15 AM
To: Yvonne Gonzalez Rogers (b)(6) @cand.uscourts.gov>; Schneider, Erin <SchneiderE@sec.gov>; (b)(6) ; (b)(6) (b)(6)
Cc: (b)(6) ; Payano, Iricel (b)(6) @dechert.com>; (b)(6) (b)(6) @cand.uscourts.gov>; Owens, Dominique (b)(6) @dechert.com>
Subject: Views Logistics

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.

Good morning, all. Our AV Specialist, Dominique (copied), has confirmed that we will be placed in a breakout room upon joining the session and then moved into the main event at 5:30. Please plan to dial in around 5:20 to ensure that no one is experiencing technical difficulties. The link is attached for your convenience here:

Meeting URL: (b)(6)

Meeting ID: (b)(6)
Passcode:

See you all this evening!

Hartley M.K. West
Partner

Dechert LLP
One Bush Street, Suite 1600, San Francisco, CA 94104
(b)(6)
633 West 5th Street, Suite 4900, Los Angeles, CA 90071
(b)(6)
hartley.west@dechert.com
dechert.com

From: Schneider, Erin
To: Persson, Jill
Subject: RE: Visit
Date: Wednesday, March 23, 2022 2:50:06 PM

Yes! I have a few things on my cal but free up after 130. If you're leaving before that I can find a way to shoot downstairs!

From: Persson, Jill (b)(6) [redacted]@sec.gov>
Sent: Wednesday, March 23, 2022 10:42 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Visit

Hi, are you free for five minutes? In the office and want to say a quick goodbye. Let me know if you have time. Will keep it short.

Jill C. Persson
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, CA 94104
(b)(6) [redacted] | Office
| Mobile

From: Schneider, Erin
To: (b)(6)
Subject: RE: Wednesday's Meeting @ 10:30
Date: Tuesday, February 8, 2022 3:10:54 PM

Ok! Thanks for letting me know.

From: (b)(6) (b)(6)@sec.gov>
Sent: Tuesday, February 8, 2022 11:15 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Wednesday's Meeting @ 10:30

Erin,

(b)(6)

Thanks.(b)(6)

From: Schneider, Erin
To: Ta, Thu Bao
Subject: Re: (b)(5) question
Date: Tuesday, March 1, 2022 7:36:39 PM

This is fine. I can tell you my thoughts later….. but I think this is fine for this one!

Sent from my iPhone

> On Feb 28, 2022, at 1:54 PM, Ta, Thu Bao (b)(6) @sec.gov> wrote:
>
> Hi Erin,
>
> (b)(5)
>
> Thu

From:	Schneider, Erin
To:	Walker, Robert (Scott)
Subject:	RE: WHAT!?! But seriously, congratulations!
Date:	Wednesday, February 23, 2022 2:16:38 PM
Attachments:	image001.png

Aww, thank you! Timing not ideal, but things will be fine.

From: Walker, Robert (Scott) (b)(6) @SEC.GOV>
Sent: Wednesday, February 23, 2022 11:06 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: WHAT!?! But seriously, congratulations!

Best,
Scott Walker
Senior Specialist | Digital Assets and Blockchain Technology
Strategic Hub for Innovation and Financial Technology (FinHub) |
Division of Examinations | U.S. Securities & Exchange Commission
Direct: (b)(6) | Email: (b)(6) @SEC.GOV

www.SEC.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: when is this?
Date: Monday, March 21, 2022 11:27:46 AM

Thurs. I forwarded invite to you.

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Monday, March 21, 2022 8:07 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: when is this?

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6) @sec.gov

From: Schneider, Erin
To: Filipp, Chrissy
Subject: RE: Will you be able to make (b)(6) farewell? I don"t see you -- just don"t want to miss you
Date: Tuesday, February 22, 2022 5:23:34 PM

ok

From: Filipp, Chrissy (b)(6) @SEC.GOV>
Sent: Tuesday, February 22, 2022 2:20 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Will you be able to make (b)(6) farewell? I don't see you -- just don't want to miss you

I was just writing you an email—I'm so sorry, I won't be able to get onto the Webex in time. I will reach out to (b)(6) separately.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, February 22, 2022 2:19 PM
To: Filipp, Chrissy (b)(6) @SEC.GOV>
Subject: Will you be able to make (b)(6) farewell? I don't see you -- just don't want to miss you

From: Schneider, Erin
To: Grewal, Gurbir; (b)(6) b)(6)
Cc: Winkler, Monique; (b)(6)
Subject: Update (good news) -- Holmes trial jury note - hung on 3 of the counts but guilty on the investor-related counts
Date: Monday, January 3, 2022 7:22:14 PM

Sounds like they hung on three of the counts. But the jury found her guilty as to the counts that pertained to the fraud on investors. That's great news for the ND Cal and hopefully means good things for (b)(5).

From: Grewal, Gurbir (b)(6) @SEC.GOV>
Sent: Monday, January 3, 2022 3:09 PM
To: Schneider, Erin <SchneiderE@sec.gov>; (b)(6) b)(6) @SEC.GOV>; (b)(6) (b)(6))(6) @SEC.GOV>
Cc: Winkler, Monique (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>
Subject: RE: Holmes trial jury note - locked on 3 of the counts
Thx for this update Erin.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, January 3, 2022 2:16 PM
To: Grewal, Gurbir (b)(6) @SEC.GOV>; (b)(6) (b)(6) @SEC.GOV>; (b)(6) (b)(6))(6) @SEC.GOV>
Cc: Winkler, Monique (b)(6) @sec.gov>; (b)(6))(6) @sec.gov>
Subject: FW: Holmes trial jury note - locked on 3 of the counts
Just wanted to give you a heads up about deliberations in Holmes' criminal trial. This is all the information we have – will keep you posted.
Gurbir and (b)(6) – the Commission's cases against Elizabeth Holmes and Theranos were filed settled back in 2018. (b)(5). His criminal trial has been pushed to February 2022.

From (b)(6) b)(6) @SEC.GOV>
Sent: Monday, January 3, 2022 11:09 AM
To: Winkler, Monique (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>; (b)(6) (b)(6) b)(6) @sec.gov>; (b)(6) b)(6) @SEC.GOV>; (b)(6) (b)(6) @SEC.GOV>
Subject: Holmes trial jury note - locked on 3 of the counts
https://www.nbcbayarea.com/news/local/elizabeth-holmes-trial/elizabeth-holmes-trial-jurors-unable-to-agree-on-verdict-in-three-counts/2756420/

(b)(6)

U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, CA 94104
Phone: (b)(6)
Fax: 415.705.2501

From: Schneider, Erin
To: Layne, Michele W.; Peavler, David L.; Jones, Nekia
Subject: Update re SFRO Interviews
Date: Tuesday, March 8, 2022 7:25:51 PM

Just FYI that (b)(6) from my office will be reaching out to schedule the candidates' interviews. Just accept those invites and I will then release the hold that I put on your calendars. I'm going to join you on the interview panel so it will be the four of us (thank you again). Working on questions and will send around resumes/questions/scoring sheets the week of March 21.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: #SFRO\EVERYONE
Subject: Updated with Link -- Open Meeting of the Commission tomorrow morning (Weds)
Date: Tuesday, February 8, 2022 7:16:24 PM

For those of you who asked – here is a link you can use to view the Open Meetings.
https://theexchange.sec.gov/news/events/general/2022-02/open-meeting

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, February 8, 2022 1:00 PM
To: #SFRO\EVERYONE (b)(6) @SEC.GOV>
Subject: Open Meeting of the Commission tomorrow morning (Weds)
Hi All – I just wanted to remind everyone that there is an Open Meeting of the Commission tomorrow, **Weds Feb 9, beginning at 7am PT,** where the Commission will discuss several new rule proposals relating to: (1) Private Fund Advisers; Documentation of Registered Investment Adviser Compliance Reviews; (2) Adviser and Fund Cybersecurity Risk Management; and (3) Shortening the Securities Transaction Settlement Cycle.
It should be an interesting meeting for those of you who are interested in following the rule-making and/or like to get up early!
Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: (b)(6)
Cc: Ro, Elena
Subject: Weird email
Date: Wednesday, January 19, 2022 11:37:31 AM

Hi, I have a weird email from someone who claims to be providing docs to me in response to my doc request. I obviously don't want to click on the link – but also not sure if it's a TCR or something else. How should I handle?

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Keto, Erik
Subject: Welcome to SFRO!
Date: Monday, January 3, 2022 3:19:16 PM

Hi Erik! I just wanted to reach out and say welcome to SFRO! Tried to give you a ring but I just got an SEC voicemail – maybe your SF number is not quite set up yet. Are you here physically or are you still in (b)(6)? I hope you had a nice holiday and some time to relax. No rush to call me back – I'll try you again later this week. Hope all is well!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: will be a few mins late -- start without me
Date: Tuesday, February 22, 2022 1:59:42 PM

From: Schneider, Erin
To: Winkler, Monique
Subject: Will be three mins late start without me
Date: Friday, February 18, 2022 12:58:59 PM

Sent from my iPhone

From: Schneider, Erin
To: Ro, Elena
Subject: Will you send me the plaque language please
Date: Tuesday, January 25, 2022 11:43:46 AM

From: Schneider, Erin
To: Ro, Elena; Winkler, Monique
Subject: Writing Course for SFRO
Date: Monday, February 7, 2022 1:32:00 PM

Hi – I chatted with Barb Lorenzen earlier and she mentioned the writing course that Elena had asked for. Assume we want to open this up to both Exam and ENF? Will you guys let me know what is a good date for the ENF side and I will ask the examiner ADs on Weds as well? I think the only hard part is that we need to appoint a subject matter expert to chat with the trainer about what sort of help we're looking for (I think we could appoint an ENF AD and an Exam AD – sounds like it would only be about an hour of work). And then we need to submit some writing samples.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: (b)(6)
Cc: Winkler, Monique
Subject: Yazdani
Date: Friday, February 25, 2022 1:21:45 PM

https://www.sec.gov/litigation/admin/2014/34-73201.pdf

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique; Ro, Elena
Subject: Sorry that was a bit awkward
Date: Wednesday, February 9, 2022 5:20:48 PM

From: Schneider, Erin
To: Winkler, Monique; LaMarca, Susan F.
Subject: Talked to (b)(6
Date: Tuesday, January 4, 2022 12:57:51 PM

They are very happy. (As they should be!)

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Wadhwa, Sanjay
Subject: TCR
Date: Wednesday, January 26, 2022 11:31:50 AM

Hi – I already responded to the cal invite earlier but I also just wanted to let you affirmatively know that I can't make the TCR meeting today (at least I think it was today – it's no longer on my calendar) because I have an appt that I cannot move. Apologies.

Hope all is well.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: (b)(6); Vasquez, Carlos; Jackson, Teresa M.; Lee, Susan; Lawson, Cheryl M.; Robles, Brenda (Contractor); Winkler, Monique; Zhou, David; Glukhovsky, Vadim; Ro, Elena; Cooper, Cindy N.; (b)(6); Buchholz, Steven; Chan, (b)(6); Walker, Robert (b)(6)
Subject: Thank You!
Date: Monday, March 21, 2022 7:59:09 PM

Hi – I just wanted to say a big **THANK YOU** to all of you who helped make BaySEC such a success this year by serving on the Steering Committee, helping with registrations, helping with our tech, and moderating and speaking. I really enjoyed (and hope you did as well!) all of the panels and it was so wonderful to see so many familiar faces. It's such an active time in the markets and in the world and Bay Area investors are so lucky to have all of you working to keep their hard-earned money safe. I wish you all the best and very much hope that you will be able to do BaySEC in-person next year with your favorite sandwich.

Erin E. Schneider
Regional Director
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44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: (b)(6)
Cc: Winkler, Monique
Subject: Thank you!
Date: Tuesday, March 8, 2022 3:55:31 PM

Thank you so so so much for talking about Theranos today – I think folks really enjoyed hearing from someone who paid so close attention to the trial. Appreciate it!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Smith, Darcel
Cc: Best, Richard R; Gregus, Daniel
Subject: (b)(6) interview
Date: Tuesday, March 15, 2022 10:44:10 AM

Hi Darcel – my interview slot for (b)(6) seems to start tonight at 11 pm. I think it was supposed to be for tomorrow at 11 am PT. Can you please adjust the times on our calendars?

Erin E. Schneider
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, CA 94104
415.705.2500
Schneidere@sec.gov

From: Schneider, Erin
To: Ro, Elena; Winkler, Monique; Haddad, Edward G.
Subject: TRANSITION.docx
Date: Monday, March 14, 2022 2:11:33 PM
Attachments: TRANSITION.docx

Hi – here's my list of transition-related things that I just wanted to put on everyone's radar. Please feel free to add anything to this list.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Ro, Elena; Winkler, Monique; Haddad, Edward G.
Subject: Transition
Date: Thursday, February 24, 2022 6:31:43 PM

Hi – sometime in the next two weeks I'll put something on the calendar for the three of us to discuss – just in terms of what's coming down the pike so you guys know what to expect?

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Kahl, Daniel
Subject: tried you -- i have a 200 but then could chat after that
Date: Wednesday, February 16, 2022 4:46:46 PM

From: Schneider, Erin
To: Winkler, Monique
Subject: tried you call when you freee up
Date: Wednesday, March 16, 2022 6:14:59 PM

From: Schneider, Erin
To: Haddad, Edward G.; Wilson, Stephanie; Schulman, Alice; Ta, Thu Bao; Tomars, Michael
Subject: Ugh
Date: Wednesday, January 5, 2022 5:07:38 PM

So . . . . . that was terrible. She's truly one of a kind.
I think we're going to try and get the posting up for Kristin's position as soon as we're able. It's something that obviously requires a lot of thought so I'd love to get your collective thoughts on what you want to see in the new Associate. Culture is so important for San Francisco and I think especially so for the Exam program so I want all of your input. I'll put something on the calendar for us to discuss -- maybe next week or the week after (to give us all time to grieve!). And of course feel free to reach out to me directly if you prefer to chat one on one.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
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schneidere@sec.gov

From: Schneider, Erin
To: EXAMS Tech Support Mailbox
Subject: Schneider, Erin wants to access "ESG"
Date: Thursday, January 20, 2022 6:37:47 PM

Hi, can I please have access to this? I m the Director of the San Francisco Regional Office

Accept or decline this request

From:	Schneider, Erin
To:	Schneider, Erin
Subject:	Schneider_Bio.docx
Date:	Thursday, January 13, 2022 8:09:32 PM
Attachments:	Schneider_Bio.docx

Erin E. Schneider – Erin E. Schneider is the Regional Director of the U.S. Securities and Exchange Commission's San Francisco Office. The Regional Office has a staff of over 125 people and is responsible for the SEC's enforcement and examination programs in Northern California, Washington, Oregon, Montana, Idaho and Alaska with over 1,000 investment advisers, almost 50 mutual fund complexes and over 250 broker-dealers located in the region. The public and pre-IPO companies located in the region are among the most dynamic and closely-followed issuers and companies in the country, including those in Silicon Valley, San Francisco, Seattle and Portland. Ms. Schneider began working in the San Francisco office in 2005 as a staff attorney and has conducted and supervised investigations into a wide variety of financial misconduct. In 2012, she became an Assistant Regional Director in Enforcement's Asset Management Unit, and from 2015 to 2019 led the office's enforcement efforts as its Associate Regional Director. Prior to joining the SEC staff, Ms. Schneider worked as a litigation associate in the Washington D.C. and San Francisco offices of Gibson, Dunn & Crutcher LLP, and as an auditor at PricewaterhouseCoopers LLP. Ms. Schneider earned her bachelor's degree in business administration from the University of California at Berkeley in 1995, and her law degree cum laude from the University of California's Hastings College of the Law in 2001.

From: Schneider, Erin
To: Yerramalli, Prashant
Subject: Schneider/SFRO
Date: Wednesday, February 16, 2022 11:25:25 AM

Hi Prashant – left you a brief voicemail. Was reaching out to speak with you about my plans. Let me know if there's a good time for you to chat today or tomorrow. Thanks – hope all is well.

Erin

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Wood, Zachary
Cc: Winkler, Monique
Subject: Schneider/Winkler out for SO call today
Date: Thursday, March 10, 2022 11:55:14 AM

Hi Zac – both Monique and I will miss the SO call today. Just wanted to let you know – we will catch up with colleagues.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Vasquez, Carlos; Ro, Elena; Snyder, Kristin A.; Winkler, Monique
Subject: Schneider''s day is awful
Date: Wednesday, January 5, 2022 11:43:05 AM

Hi guys – I'm so sorry, I'm having a doozy of a day. (b)(6) (b)(6)
(b)(6)
(b)(6) , which is right in the middle of our BaySEC call. Can we reschedule? Or you guys can do it without me and I can catch up with Elena. I'm really sorry.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Wilson, Stephanie
Subject: (b)(7)(A) call today
Date: Thursday, March 3, 2022 12:26:24 PM

Just FYI that I'm going to defer to you for the (b)(7)(A) call today. Will you catch up the ARD group (and me) with anything important?

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: (b)(6)
Subject: Self-Assessment
Date: Monday, January 24, 2022 11:50:43 AM

Hi there – is your self assessment in Word form? If so, will you send to me and then I can write up your review. Otherwise I'll get (b)(6) to pull it for me.

From: Schneider, Erin
To: (b)(6)
Subject: Shipping Address
Date: Tuesday, February 22, 2022 6:20:43 PM

Will you let me know your shipping address to ship the plaque to? Can either ship to home or to the office – whichever is most convenient! Loved your words today. So inspiring and such a reminder of why this is such a great place to work.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: (b)(6)
Subject: (b)(6) Review
Date: Wednesday, January 26, 2022 12:37:40 PM
Attachments: CY 2021 Final Performance Appraisal SO (b)(6) 1).pdf

(b)(6)

Please let me know if you want to discuss!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Wood, Zachary
Cc: Winkler, Monique
Subject: SO Call today
Date: Monday, March 7, 2022 11:24:34 AM

Hi Zac – (b)(6) during the SO meeting but will catch up with Monique afterwards

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: so irritated -- its still going
Date: Monday, February 14, 2022 1:32:31 PM

From: (b)(6) on behalf of Schneider, Erin
To: SFRO-Reception-Desk; #SFRO\EVERYONE
Subject: FW: Quick All-Hands Meeting

-----Original Appointment-----
From: Schneider, Erin <SchneiderE@sec.gov <mailto:SchneiderE@sec.gov> >
Sent: Wednesday, February 23, 2022 10:26 AM
To: Schneider, Erin; #SFRO\EVERYONE
Subject: Quick All-Hands Meeting
When: Wednesday, February 23, 2022 11:00 AM-11:30 AM (UTC-08:00) Pacific Time (US & Canada).
Where: WebEx, Below

Hi – if you're able, please join me at 11 for a quick All-Hands meeting. No worries if you can't make it – I know it's short notice. Can catch folks up afterwards.

-- Do not delete or change any of the following text. --

When it's time, join your Webex meeting here.

Join meeting (b)(6)

More ways to join:

Join from the meeting link

(b)(6)

Join by meeting number

Meeting number (access code): (b)(6)

Meeting password: (b)(6) (from phones and video systems)

Tap to join from a mobile device (attendees only)
(b)(6) USA Toll 2
US Toll
Some mobile devices may ask attendees to enter a numeric meeting password.

Join by phone
(b)(6) USA Toll 2
US Toll
Global call-in numbers (b)(6)

Join from a video system or application
Dial (b)(6)

Join using Microsoft Lync or Microsoft Skype for Business

Dial (b)(6)

If you are a host, click here (b)(6) to view host information.

Need help? Go to https://help.webex.com <https://help.webex.com>

From: Schneider, Erin
To: Bustillo, Eric I.
Subject: FW: Save the Date for a Visit with Commissioner Peirce
Date: Wednesday, March 16, 2022 3:06:30 PM

Here's what I sent for CP – when we were affirmatively hosting something for the office. And I reminded people that they had to let me know by the Friday before whether or not they were coming (most complied, some did not).

From: Schneider, Erin
Sent: Tuesday, February 1, 2022 2:19 PM
To: #SFRO\EVERYONE (b)(6) @SEC.GOV>
Subject: Save the Date for a Visit with Commissioner Peirce

Good Afternoon!

I wanted to let all of you know that Commissioner Peirce and her counsel will be here in SFRO – in person – for a Town Hall on **Tuesday, February 15 from 9:30-10:30 am** (I will send a cal invite shortly). I'm very excited that she's coming especially for all of the new folks – it will be a great opportunity to hear from her directly about the things she's thinking about. She also very much wants to hear what you all are thinking about – so please send me ideas and questions so that I can pass along to her.

We're still working out the logistics of exactly how this will work – so I will get back to you with a specific location of where in SFRO we will do the Town Hall. Both I and Commissioner Peirce want all of you to know that there is absolutely no pressure to come into the office for the Town Hall – we of course plan to broadcast it over WebEx so that everyone can attend. If you do plan to come in person – please let me and Elena know ahead of time so we can work that into our planning.

Thanks!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: (b)(6)
Subject: FW: SD Cal Pretrial Memorandum of Contentions of Fact and Law
Date: Friday, January 7, 2022 12:13:05 PM

(b)(5)

From: (b)(6) (b)(6) @SEC.GOV>
Sent: Friday, January 7, 2022 9:11 AM
To: #ENF Trial Attorneys (b)(6) @SEC.GOV>
Subject: SD Cal Pretrial Memorandum of Contentions of Fact and Law

Happy New Year to all:

(b)(5)

Thanks

(b)(6)

Assistant Chief Litigation Counsel
Securities and Exchange Commission
Division of Enforcement
100 F Street, N.E.
Washington, D.C. 20549
(b)(6) (ph)
(fax)
(b)(6) @sec.gov

From: Schneider, Erin
To: Levenson, Paul
Subject: FW: SFRO Opening for Associate Director/ Examinations -- Deadline to Apply is February 24, 2022
Date: Thursday, February 10, 2022 7:04:34 PM

(b)(5) [redacted]

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, February 10, 2022 3:02 PM
To: #SFRO\EVERYONE (b)(6) [redacted]@SEC.GOV>
Subject: SFRO Opening for Associate Director/ Examinations -- Deadline to Apply is February 24, 2022

All: I wanted to let you know that the posting for SFRO's Associate Director for Examinations (Kristin's spot) has been opened. The deadline to apply is February 24, 2022. The opening is posted a few different ways, so I've included all of the applicable links below – please be sure to review the applicable requirements. As usual, I'm happy to discuss and please feel free to forward the USA Jobs links to anyone you think would be interested in this position.

https://www.usajobs.gov/GetJob/ViewDetails/636641100
22-DE-11387840-DMQ
https://www.usajobs.gov/GetJob/ViewDetails/636640000
22-MP-11387832-DMQ
https://www.usajobs.gov/GetJob/ViewDetails/636639500
****

Division of Examinations in the San Francisco Regional Office (SFRO) and directs, coordinates, controls, and evaluates the performance in this area. The principal functions of this office include: conducting exams of investment companies, investment advisers, broker-dealers, transfer agents, and municipal advisors; providing interpretations regarding the application and meaning of Commission rules and regulations; and investigating possible violations of the federal securities laws.

Typical duties include:

- Collaborating with headquarters, other regional offices and appropriate divisions in determining national and regional examination priorities.
- In conjunction with headquarters staff, planning and evaluating the overall program of the Region with respect to compliance/examinations matters.
- Ensuring that the overall compliance and examination activities are carried out consistent with overall Commission and Division guidelines and priorities.
- Performing the full range of supervisory duties, including evaluating employee performance; making recommendations for appointment and promotion; hearing and resolving complaints; identifying development and training needs of employees; and other related supervisory tasks.
- Communicating with FINRA and other self-regulatory organizations in order to

monitor the operational and financial condition of securities industry registrants within the region.

- Contacting and collaborating with high-ranking officials from other federal agencies and departments of government, congressional staff officials, state officials, and/or executives of comparable private sector organizations.
- Participating in and/or planning public speaking events to educate the industry and general public about examination and Commission priorities
- Promoting the spirit and practice of diversity, and further the goals of equal employment opportunity (EEO) by taking positive steps to ensure the accomplishment of affirmative action objectives, and adherence to nondiscriminatory employment practices.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Gregus, Daniel
Subject: Posting for Exam SO spot
Date: Tuesday, January 11, 2022 11:19:34 AM

Can you share with me the language you're using for posting your former spot? I want to get working on Kristin's . . . .

From: Schneider, Erin
To: Beasley, Craig; Gray, Wanda E.; Barney, Barbara
Subject: Quick chat before interviews commence?
Start: Monday, March 21, 2022 2:30:00 PM
End: Monday, March 21, 2022 2:45:00 PM
Location: WebEx, Below

If you guys have time for a quick chat before we start the interviews tomorrow I would love it. I just wanted to chat about the sheet I sent you re what SFRO needs.

-- Do not delete or change any of the following text. --

When it's time, join your Webex meeting here.

Join meeting (b)(6)

More ways to join:

Join from the meeting link

(b)(6)

Join by meeting number

Meeting number (access code): (b)(6)

Meeting password: (b)(6) (from phones and video systems)

Tap to join from a mobile device (attendees only)
(b)(6) USA Toll 2
US Toll
Some mobile devices may ask attendees to enter a numeric meeting password.

Join by phone
(b)(6) USA Toll 2
US Toll
Global call-in numbers (b)(6)

Join from a video system or application
Dial (b)(6)

Join using Microsoft Lync or Microsoft Skype for Business

Dial (b)(6)

If you are a host, click here (b)(6) to view host information.

Need help? Go to https://help.webex.com <https://help.webex.com>

From: Schneider, Erin
To: Jones, Nekia
Subject: RE: Possible block for SFRO interviews, pending confirmation
Date: Monday, March 7, 2022 1:26:01 PM

I just moved this one 30 mins earlier to accommodate the no later than 2:30 on Tuesday (was that 230 Eastern?)

-----Original Appointment-----

From: Jones, Nekia (b)(6) @SEC.GOV>

Sent: Monday, March 7, 2022 10:24 AM

To: Schneider, Erin

Subject: Accepted: Possible block for SFRO interviews, pending confirmation

When: Tuesday, March 22, 2022 9:00 AM-12:00 PM (UTC-08:00) Pacific Time (US & Canada).

Where:

From: Schneider, Erin
To: Yerramalli, Prashant
Subject: Re: press release - INTERNAL PRERELEASE DISTRIBUTION
Date: Friday, March 25, 2022 12:04:32 PM

Sent from my iPhone

> On Mar 25, 2022, at 9:03 AM, Yerramalli, Prashant (b)(6) @sec.gov> wrote:
>
> (b)(6)
>
> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Friday, March 25, 2022 11:37 AM
> **To:** Yerramalli, Prashant (b)(6) @SEC.GOV>
> **Subject:** Re: press release - INTERNAL PRERELEASE DISTRIBUTION
>
> (b)(6)
>
> Sent from my iPhone
>
>> On Mar 25, 2022, at 6:53 AM, Yerramalli, Prashant (b)(6) @sec.gov> wrote:
>>
>> (b)(6)
>>
>> **From:** Callahan, Kevin J (b)(6) @sec.gov>
>> **Sent:** Friday, March 25, 2022 9:53 AM
>> **To:** #OPA Internal Circulation (b)(6) @SEC.GOV>; #OPA ENF Internal Circulation (b)(6) @SEC.GOV>
>> **Subject:** press release - INTERNAL PRERELEASE DISTRIBUTION
>>
>> FYI, this press release is planned for around 11 a.m. …
>>
>> # San Francisco Regional Director Erin E.

Schneider to Leave Agency

Washington D.C., March 25, 2022 — The Securities and Exchange Commission today announced that Erin E. Schneider, the Director of the San Francisco Regional Office since 2019, is leaving the agency after more than 17 years of service. Monique C. Winkler will become the office's Acting Regional Director when Ms. Schneider departs at the end of this month.

"I thank Erin for her dedication and service to the SEC over the last 17 years," said SEC Chair Gary Gensler. "The enforcement and examinations functions of our San Francisco Regional Office are crucial to our efforts to protect investors, and we have benefited greatly from Erin's leadership. I'd also like to thank Monique for stepping up to serve as Acting Regional Director."

"Erin has been an outstanding leader for the San Francisco office," said Gurbir Grewal, the SEC's Director of Enforcement. "Her tenure has been marked by a number of groundbreaking enforcement cases, especially in Silicon Valley, that will benefit investors for many years to come. The San Francisco office is well positioned to identify and confront the rapidly changing market dynamics that animate the region."

Ms. Schneider said, "I am incredibly grateful to the agency for the opportunity to work with such a talented group of people dedicated to public service. I especially want to thank the staff in the San Francisco office for their passion, resiliency, entrepreneurial spirit, and tireless efforts to protect investors and our markets even in times of great upheaval."

Ms. Schneider has been overseeing examinations and investigations into a broad range of SEC registrants and issuers as well as spearheading local initiatives across Northern California and the Pacific Northwest. Earlier in her SEC tenure, she served in the Asset Management Unit as an Assistant Director and then Associate Regional Director for Enforcement in the San Francisco office. She began as an enforcement staff attorney in 2005. Ms. Schneider received the SEC's Ellen Ross Award in 2011 and the Chairman's Award for the Protection of Main Street Investors in 2020.

Ms. Winkler succeeded Ms. Schneider as the San Francisco office's Associate Regional Director for Enforcement beginning in 2019. She previously was an Assistant Director in the Enforcement Division's Public Finance Abuse Unit among other roles since joining the agency staff in 2008. Ms. Winkler earned her bachelor's degree in psychology magna cum laude from Indiana University and her law degree from Vanderbilt University School of Law.

###

From: Schneider, Erin
To: plaques@aol.com
Subject: RE: Proof for invoice # [redacted] - Response required ASAP
Date: Wednesday, February 23, 2022 11:34:06 AM

Yes please

From: plaques@aol.com <plaques@aol.com>
Sent: Wednesday, February 23, 2022 8:33 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: Proof for invoice # [redacted] - Response required ASAP

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 Erin
Should we use the same credit card as the previous order?
The card ended in [redacted]
[redacted]

-----Original Message-----
From: Schneider, Erin <SchneiderE@sec.gov>
To: plaques@aol.com <plaques@aol.com>
Sent: Wed, Feb 23, 2022 11:20 am
Subject: RE: Proof for invoice # [redacted] - Response required ASAP

Hi, no thank you! Please just ship regular way to:
[redacted]
THANKS!

From: plaques@aol.com <plaques@aol.com>
Sent: Wednesday, February 23, 2022 6:47 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: Proof for invoice # [redacted] - Response required ASAP

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,
We can get it there by Friday but it will be an additional $76.00. Let me know if you would like to proceed by 2:00 EST
Thanks!!
[redacted]

-----Original Message-----
From: Schneider, Erin <SchneiderE@sec.gov>
To: plaques@aol.com <plaques@aol.com>
Sent: Tue, Feb 22, 2022 7:31 pm
Subject: RE: Proof for invoice # [redacted] - Response required ASAP

Can you get it there by Friday morning? If so,
U.S. SEC/ Attn: [redacted] 44 Montgomery Street, Suite 2800, San Francisco, CA 94104
If you can't get it there by Friday morning – I have another address for you.
Thanks!

From: plaques@aol.com <plaques@aol.com>
Sent: Tuesday, February 22, 2022 6:53 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: Proof for invoice #(b)(6) - Response required ASAP

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,
Ok great! Do you have the shipping address?
Thanks!
(b)(6)

-----Original Message-----
From: Schneider, Erin <SchneiderE@sec.gov>
To: plaques@aol.com <plaques@aol.com>
Sent: Mon, Feb 21, 2022 10:56 pm
Subject: Re: Proof for invoice #(b)(6) - Response required ASAP

I just did — so sorry!!

Sent from my iPhone

> On Feb 21, 2022, at 9:56 AM, plaques@aol.com wrote:
>
> 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.
>
> Please respond to the Art Department
> Thank you, (b)(6)
>
> -----Original Message-----
> From: art@newdimensioninc.com
> To: (b)(6) <plaques@aol.com>
> Sent: Mon, Feb 21, 2022 12:45 pm
> Subject: FW: Proof for invoice # (b)(6) - Response required ASAP
>
> **From:** art@newdimensioninc.com <art@newdimensioninc.com>
> **Sent:** Monday, February 21, 2022 10:13 AM
> **To:** 'SchneiderE@sec.gov' <SchneiderE@sec.gov>
> **Subject:** Proof for invoice # (b)(6) - Response required ASAP
>
> Good morning,
>
> Please review the attached layout and advise whether it is approved or changes are needed.
>
> ** **PLEASE SCROLL THROUGH ALL THE PAGES****
> **Production will not begin until approval is emailed back stating APPROVED**
> **Please print for better preview**
>
> Please verify all wording, spelling, art and sizes are correct before approving.
> Please note:
> *Response is required within 24 hours of receiving artwork in order to keep your in-hand date.
> *Once approved, you are responsible for ½ the remake cost should any errors be found after production begins.*
> *There is no charge for the first revision, any customer changes after that are subject to a $20 art

charge*
colors portrayed on proof may not match final product due to difference between digital and pigmented colors.

Your approval indicates you have carefully reviewed the attached proof and are taking responsibility for the content.
New Dimension, Inc. is not responsible for any errors that are missed and the approver is responsible for the timely return of the proof.

Thank You For Choosing New Dimension.

(b)(6)

o: (b)(6) **f:** 718-236-6979 **e:** art@newdimensioninc.com
a: 6505 11th Avenue, Brooklyn, NY 11219 **w:**
http://newdimensioninc.com

From: Schneider, Erin
To: Vasquez, Carlos; #SFRO-TwitterComm
Subject: RE: Proposed Tweet: SEC Investor Advisory Committee to Discuss Artificial Intelligence and Cybersecurity on March 10
Date: Tuesday, March 8, 2022 11:40:53 AM

Agree, thanks!

From: Vasquez, Carlos (b)(6) @sec.gov>
Sent: Tuesday, March 8, 2022 8:37 AM
To: #SFRO-TwitterComm (b)(6) @SEC.GOV>
Subject: Proposed Tweet: SEC Investor Advisory Committee to Discuss Artificial Intelligence and Cybersecurity on March 10

Given the content, this seems worthy of a headline tweet for our region:

(b)(5)

From: Securities and Exchange Commission <sec@service.govdelivery.com>
Sent: Monday, March 7, 2022 1:01 PM
To: Vasquez, Carlos (b)(6) @sec.gov>
Subject: SEC Investor Advisory Committee to Discuss Artificial Intelligence and Cybersecurity on March 10

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.

You are subscribed to Press Releases from the Securities and Exchange Commission. A new press release is now available.

SEC Investor Advisory Committee to Discuss Artificial Intelligence and Cybersecurity on March 10

03/07/2022 03:45 PM EST

The Securities and Exchange Commission's Investor Advisory Committee will hold a public meeting remotely on March 10 at 10:00 a.m. ET. The meeting is open to the public via live webcast, and will be archived on the committee's website for later…

Capital Raising Building Blocks

Explore the fundamentals of capital raising with our latest tool, Building Blocks.

SEC Seal

From: Schneider, Erin
To: Vasquez, Carlos
Subject: RE: Proposed tweets on job posting and outreach
Date: Friday, February 18, 2022 12:27:13 PM

Sorry, looks great

From: Vasquez, Carlos (b)(6) @sec.gov>
Sent: Friday, February 18, 2022 9:02 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: Proposed tweets on job posting and outreach
Not sure if I received a response on this from you (Monique approved during the drafting process):

From: Vasquez, Carlos (b)(6) @sec.gov>
Sent: Thursday, February 17, 2022 8:40 AM
To: #SFRO-TwitterComm (b)(6) @SEC.GOV>
Subject: FW: Proposed tweets on job posting and outreach
Hi all,
Here are proposed tweets on the ENF job openings and info session. We would likely post them a few times.

(b)(5)

From: Ro, Elena (b)(6) @sec.gov>
Sent: Wednesday, February 16, 2022 5:35 PM
To: Quintanilla, Silvana (b)(6) @SEC.GOV>
Cc: Vasquez, Carlos (b)(6) @sec.gov>; Zuberi, Madiha (b)(6) @SEC.GOV>; Winkler, Monique (b)(6) @sec.gov>
Subject: Re: Proposed tweets on job posting and outreach
Thumbs up!

Sent from my iPhone

> On Feb 16, 2022, at 5:07 PM, Quintanilla, Silvana (b)(6) @sec.gov> wrote:
>
> They look good. Thanks!
>
> Silvana Quintanilla
> Counsel, Division of Enforcement | U.S. Securities and Exchange Commission
> Ph. (b)(6) | (b)(6) @sec.gov
>
> Sent from my iPhone
>
>> On Feb 16, 2022, at 3:32 PM, Vasquez, Carlos (b)(6) @sec.gov>
>> wrote:

(b)(5)

Carlos Vasquez
Supervisory Counsel for Outreach and Intake
U.S. Securities and Exchange Commission
44 Montgomery St., Ste. 2800
San Francisco, CA 94104
(b)(6)

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: Quarterly notes
Date: Wednesday, March 9, 2022 12:12:57 PM

All looks good. Yeah, I hear you, it's a lot to get through. But it's also good that we have a lot to talk about. No need to chat – see you later today.

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Tuesday, March 8, 2022 12:47 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Quarterly notes

We will never get through all of this. (b)(6) is a bear. Let me know if you want to chat.

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone (b)(6)
Fax: 415.705.2500
(b)(6) @sec.gov

From: Schneider, Erin
To: sanfrancisco
Subject: RE: Question from The Cancer Letter - On Deadline
Date: Tuesday, January 4, 2022 6:59:42 PM

Hi, I would refer her to Public Affairs. Thanks so much (b)(6)

From: sanfrancisco (b)(6) @sec.gov>
Sent: Tuesday, January 4, 2022 3:35 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: Question from The Cancer Letter - On Deadline

Hi Erin,
(b)(5) Thanks.
Sincerely,
(b)(6)

U.S. Securities & Exchange Commission
44 Montgomery Street, Ste. 2800
San Francisco, CA 94104
Follow us on twitter @SF_SEC

From: Alice Tracey <alice@cancerletter.com>
Sent: Monday, January 3, 2022 2:14 PM
To: sanfrancisco (b)(6) @sec.gov>
Subject: Question from The Cancer Letter - On Deadline

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.

Hello!
My name is Alice, and I'm a reporter with *The Cancer Letter* in Washington, DC. (We focus on news related to all aspects of oncology.)
I'm looking into the criminal charges filed against Dr. Daniel V.T. Catenacci for insider trading—I believe this investigation was conducted by the SEC's San Francisco Regional Office. Would the SEC be interested in providing a statement on the rationale for the charges against Dr. Catenacci, past instances of insider trading using clinical trial information, and/or where this case is headed?
Thank you for your help!

--

Alice Tracey | Reporter

The Cancer Letter
c. (b)(6)
e. alice@cancerletter.com
http://www.cancerletter.com

From: Schneider, Erin
To: Combs, Tracy S
Subject: RE: Questions re RD
Date: Monday, January 24, 2022 6:08:47 PM

(b)(6)

From: Schneider, Erin
Sent: Monday, January 24, 2022 3:08 PM
To: Combs, Tracy S (b)(6) @SEC.GOV>
Subject: RE: Questions re RD

I'm so sorry, I just got out of another meeting. Time now? Call (b)(6)

From: Combs, Tracy S (b)(6) @SEC.GOV>
Sent: Monday, January 24, 2022 3:04 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Questions re RD

Hi there, just tried your line—I realized I put WebEx in the invite, but happy to chat by phone or WebEx (if you still have time), whatever works.

Tracy S. Combs
Office of the Director
Division of Enforcement
U.S. Securities and Exchange Commission
(b)(6)
(b)(6) @sec.gov

From: Schneider, Erin
To: Wadhwa, Sanjay
Subject: Re: Quick chat with ES re transition
Date: Friday, March 18, 2022 6:10:23 PM

Yes will You call (b)(6) ?

Sent from my iPhone

> On Mar 18, 2022, at 2:56 PM, Wadhwa, Sanjay (b)(6) @sec.gov> wrote:
>
> Hi, are you free now?
>
> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Friday, March 18, 2022 3:53 PM
> **To:** Wadhwa, Sanjay (b)(6) @SEC.GOV>
> **Subject:** Re: Quick chat with ES re transition
> No problem, just call me when you have 5 mins or so.
>
> Sent from my iPhone
>
>> On Mar 18, 2022, at 12:49 PM, Wadhwa, Sanjay (b)(6) @sec.gov>
>> wrote:
>>
>> Hi, sorry for the last minute rescheduling, but I have to attend another mtg. w/Gurbir, which conflicts with our call. I don't expect this new mtg. to last the full 30 minutes we're setting aside for it, and I can call you after it's ended, if that works for you. Or, we can aim for Mon/Tues... Let me know.
>> Sanjay
>> -----Original Appointment-----
>> **From:** Schneider, Erin <SchneiderE@sec.gov>
>> **Sent:** Friday, March 11, 2022 12:42 PM
>> **To:** Schneider, Erin; Wadhwa, Sanjay
>> **Subject:** Quick chat with ES re transition
>> **When:** Friday, March 18, 2022 1:00 PM-1:15 PM (UTC-08:00) Pacific Time (US & Canada).
>> **Where:** Erin to call Sanjay
>> Hi – I was hoping to bend your ear for just a little bit about SFRO transition. I can call you at this time if it works. Appreciate . . . .

From: Schneider, Erin
To: Buchholz, Steven
Subject: RE: quick chat?
Date: Friday, March 25, 2022 5:08:49 PM

Elena had to bring me lunch – I've been non stop phone calls. Will stop by in a little bit?

From: Buchholz, Steven (b)(6) @sec.gov>
Sent: Friday, March 25, 2022 1:50 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: quick chat?

Running out for late lunch/coffee to bring back. Can I bring you something?
(b)(6) just stopped in my office…

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, March 25, 2022 11:27 AM
To: Buchholz, Steven (b)(6) @sec.gov>
Subject: RE: quick chat?

I'll stop by later in the afternoon. Thought I was prepared to leave, but wow I have so much to do!

From: Buchholz, Steven (b)(6) @sec.gov>
Sent: Friday, March 25, 2022 11:22 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: quick chat?

I'm in the office if you have a few minutes to chat at some point (I'm wide open after 12:30)—no worries if not, I'm sure it's a hectic day.

From:	Schneider, Erin
To:	Ro, Elena
Subject:	RE: quick FYI re staff attorney hiring
Date:	Thursday, February 10, 2022 12:50:51 PM

ok

From: Ro, Elena (b)(6) @sec.gov>
Sent: Thursday, February 10, 2022 8:22 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: quick FYI re staff attorney hiring

Hey – Monique signed off on the staff attorney posting and wants it open as soon as 2/14/2022. (b)(
(b)(5)
(b)(5) . Didn't want you surprised by anything.

From: Schneider, Erin
To: Lee, Jason H
Subject: Re: Quick meeting today with Senior Staff
Date: Wednesday, February 23, 2022 12:46:50 PM

Perfect

Sent from my iPhone

> On Feb 23, 2022, at 9:44 AM, Lee, Jason H (b)(6) @sec.gov> wrote:
>
> Hi Erin,
> I have a conflict at 10:30, but will reach out to one of the other call participants afterwards to get up to speed.
> ~Jason
>
> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Wednesday, February 23, 2022 8:23 AM
> **To:** Buchholz, Steven (b)(6) @sec.gov>; Davis, Tracy L. (b)(6) @sec.gov>; Haddad, Edward G. (b)(6) @sec.gov>; LaMarca, Susan F. (b)(6) @sec.gov>; Lee, Jason H (b)(6) @SEC.GOV>; Lee, Jennifer J. (b)(6) @sec.gov>; Lee, Mark (b)(6) @SEC.GOV>; Pendrey, Jeremy (b)(6) @sec.gov>; Ro, Elena (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>; Schulman, Alice (b)(6) @sec.gov>; Ta, Thu Bao (b)(6) @SEC.GOV>; Vasquez, Carlos (b)(6) @sec.gov>; Wilson, Stephanie (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>
> **Subject:** Quick meeting today with Senior Staff
> Hi folks – I normally have a meeting with the EXAM ARDs on Weds at 1030. However, there's something that I want to chat with all of you about – so I'm going to add everyone onto that 1030 meeting this morning. No worries if you can't make it – I know it's short notice and I can catch up those who can't fit it into their schedule. For the EXAM folks – if there are things we need to discuss we can still try to do them during this call or schedule another one, whatever works.
> Thanks!
> Erin
> *Erin E. Schneider*
> Regional Director
> United States Securities & Exchange Commission
> 44 Montgomery Street, Suite 2800
> San Francisco, California 94104
> 415.705.2500
> schneidere@sec.gov

From: Schneider, Erin
To: Jones, Nekia; Beard, Tanya G.; Best, Richard R; Bustillo, Eric I.; Gottschall, Kurt L.; Gregus, Daniel; Jones, Nekia; Layne, Michele W.; Levenson, Paul; Peavler, David L.; Schneider, Erin
Subject: RE: RD Meeting on Friday, February 11th
Date: Tuesday, February 8, 2022 3:10:35 PM

Dropping (b)(6) – her plaque SHOULD be delivered to her on Friday so she'll have it but I'll follow up to try and confirm. At the very least I can show here a mockup and we can all say goodbye?

From: Jones, Nekia (b)(6) @SEC.GOV>
Sent: Tuesday, February 8, 2022 11:10 AM
To: #Regional Directors (b)(6) @SEC.GOV>
Subject: RD Meeting on Friday, February 11th

Good afternoon, everyone!

Our next RD monthly meeting is scheduled for this Friday, February 11, 2022. Sadly, this will be (b)(6) last RD meeting with us, so bring your funny stories, heartwarming goodbyes, and a box of Kleenex!

If you have any other discussion items, feel free to let me know.

Nekia Hackworth Jones, Esq.
Regional Director
Atlanta Regional Office
U.S. Securities & Exchange Commission
950 East Paces Ferry Road, NE
Suite 900
Atlanta, GA 30326
Cell: (b)(6)
Email: (b)(6) @sec.gov

From: Schneider, Erin
To: Shah, Tejal; Winkler, Monique; Buchholz, Steven
Subject: RE: re: Briefing for Gary
Date: Wednesday, March 9, 2022 10:58:42 AM

Thanks Tejal

From: Shah, Tejal (b)(6) @SEC.GOV>
Sent: Wednesday, March 9, 2022 7:51 AM
To: Winkler, Monique (b)(6) @sec.gov>; Buchholz, Steven (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: re: Briefing for Gary
Inadvertently left Erin off my earlier email.

From: Shah, Tejal
Sent: Wednesday, March 9, 2022 10:22 AM
To: Winkler, Monique (b)(6) @sec.gov>; Buchholz, Steven (b)(6) @sec.gov>
Subject: FW: re: Briefing for Gary
Hi Monique & Steve –
Please see below and let me know when would be a good time to set this up and who should be included. Thanks!

From: Yerramalli, Prashant (b)(6) @SEC.GOV>
Sent: Wednesday, March 9, 2022 9:54 AM
To: Tenreiro, Jorge (b)(6) @SEC.GOV>; Shah, Tejal (b)(6) @SEC.GOV>; Helvin, Lisa (b)(6) @SEC.GOV>
Subject: re: Briefing for Gary
Gary wanted a short briefing on the history of the (b)(5); (b)(6) matter. Maybe a good chance for the team to get some exposure. Basically the (b)(5) .

From: Schneider, Erin
To: Schulman, Alice; Haddad, Edward G.; Tomars, Michael; Wilson, Stephanie; Ta, Thu Bao
Subject: RE: Recurring Exam meetings
Date: Wednesday, January 26, 2022 12:53:49 PM

Thanks Alice. In re setting the Exam planning meeting, I know this normally is at 11. Would it be okay with that group to change it to 10:00? Asking because the 11:00 conflicts with the Closed Commission meeting. If it's too hard to change with everyone's schedule – I totally get it. Let me know what you guys think.

From: Schulman, Alice (b)(6) @sec.gov>
Sent: Tuesday, January 25, 2022 2:10 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Recurring Exam meetings

Erin, before I forget - you probably have this info already but in case you don't: the two recurring meetings Kristin cancelled are the staff meeting (fourth Tuesday of the month) and the exam planning meeting with the assistants and EMs (second Thursday of the month).

Alice

Alice L. Schulman, Assistant Regional Director, Examinations
United States Securities and Exchange Commission
44 Montgomery Street, Suite 2800 | San Francisco, CA 94104
Landline (b)(6) | Mobile (b)(6) | Email (b)(6) @sec.gov

From: Schneider, Erin
To: Ta, Thu Bao
Subject: Re: reg counsel meeting cancelled
Date: Thursday, March 17, 2022 12:39:51 PM

Ha ha ok! Thanks for letting me know!

Sent from my iPhone

> On Mar 17, 2022, at 9:37 AM, Ta, Thu Bao (b)(6) @sec.gov> wrote:
>
> Hi Erin,
> Today's reg counsel meeting was cancelled so I don't have any updates for next week's staff meeting. Sorry.
> Thu

From: Schneider, Erin
To: Winkler, Monique
Subject: Re: remind me
Date: Thursday, January 27, 2022 7:15:57 PM

Tried you. No need to call me back if you're off, can chat tomorrow.

Sent from my iPhone

> On Jan 27, 2022, at 2:51 PM, Winkler, Monique (b)(6) @sec.gov> wrote:
>
> To tell you about a comment made on the call this afternoon.
> *Monique C. Winkler*
> Associate Regional Director, Enforcement
> U.S. Securities and Exchange Commission
> 44 Montgomery Street, Suite 2800
> San Francisco, California 94104-4691
> Telephone: (b)(6)
> Fax: 415.705.2500
> (b)(6) @sec.gov

From: Schneider, Erin
To: Tran, Teresa
Subject: RE: Reminder to CERT (b)(6) card. Thx eom
Date: Monday, February 28, 2022 2:41:21 PM

Done, sorry!

From: Tran, Teresa (b)(6) @SEC.GOV>
Sent: Monday, February 28, 2022 11:37 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Reminder to CERT (b)(6) card. Thx eom

From: Schneider, Erin
To: Tran, Teresa
Subject: RE: Reminder to CERT. thx eom
Date: Monday, January 3, 2022 5:29:48 PM

done

From: Tran, Teresa (b)(6) @SEC.GOV>
Sent: Monday, January 3, 2022 2:16 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Reminder to CERT. thx eom

From: Schneider, Erin
To: Uclusin, Wilda A.
Subject: RE: Request appointment
Date: Friday, March 11, 2022 12:39:00 PM

YEEEEEEEESSSSSSSSSSSSSSS. Let me look at my cal and I'll send you an invite.

From: Uclusin, Wilda A. (b)(6) @sec.gov>
Sent: Friday, March 11, 2022 9:30 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Request appointment

Good morning Erin. May I schedule some face time with you?
I'm free all day today.
Next week (3/14-18): I'm free all day Mon-Tues (3/14-15), then free Wed-Fri. (3/16-18) after 1:00pm. -W

From: Schneider, Erin
To: Welshhans, Carolyn; Montoya, Paul A.
Subject: RE: Resume Screening
Date: Wednesday, March 9, 2022 2:58:06 PM

(b)(5)

From: Welshhans, Carolyn (b)(6) @sec.gov>
Sent: Wednesday, March 9, 2022 7:39 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Montoya, Paul A. (b)(6) @SEC.GOV>
Subject: Resume Screening

(b)(5) d

Carolyn M. Welshhans
Associate Director
Division of Enforcement
U.S. Securities and Exchange Commission
100 F Street, N.E.
Washington, D.C. 20549
Phone: (b)(6)
Cell: (b)(6)
(b)(6) @sec.gov

From: Schneider, Erin
To: Montoya, Paul A.
Subject: RE: Resumes
Date: Wednesday, January 5, 2022 12:37:23 PM

perfect

From: Montoya, Paul A. (b)(6) @SEC.GOV>
Sent: Wednesday, January 5, 2022 9:37 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Resumes

Hi Erin. I'll be done looking at them today. If you'd like, I can check calendars and set up a call with Vic for tomorrow. Please let me know if that works for you.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, January 05, 2022 11:28 AM
To: Montoya, Paul A. (b)(6) @SEC.GOV>
Subject: Resumes

Hi – not sure if you had a chance to look through the resumes for the Chief Litigation Counsel yet. I did, but wanted to ask Vic a few questions before we made our recommendations. Will you let me know when you will be ready to do that?

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Buchholz, Steven; Wilson, Stephanie; Snyder, Kristin A.
Cc: Winkler, Monique; (b)(6)
Subject: RE: RH
Date: Wednesday, January 5, 2022 3:28:47 PM

Thanks Steph. Do you know CeCe? I've met her a few times on panels and she seems good.

From: Buchholz, Steven (b)(6) @sec.gov>
Sent: Wednesday, January 5, 2022 11:43 AM
To: Wilson, Stephanie (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6) @sec.gov>; (b)(6) (b)(6) (b)(6) @SEC.GOV>; (b)(6) (b)(6) @sec.gov>
Subject: Re: RH

Thanks for passing along this information, (b)(6) (Adding (b)(6) and (b)(6) FYI.)

From: Wilson, Stephanie
Sent: Wednesday, January 5, 2022 11:18:55 AM
To: Snyder, Kristin A.; Kahl, Daniel; (b)(6)
Cc: Schneider, Erin; Winkler, Monique; Buchholz, Steven
Subject: RH

I just got off the phone with (b)(6) at Robinhood. (b)(6) gave an update on some organizational changes at the firm. They have created a new role "Chief Brokerage Officer"-Steve Quirk, formerly an EVP of trading and education at TD Ameritrade, will assume that role. The presidents of both BDs (Robinhood Financial and Robinhood Securities) will report to him. Secondly, the parent has created an enterprise CCO role which Norm is assuming. CeCe Baute Mavico, formerly of LPL, will be taking over for Norm. Her start date is next Monday and she will be located in Charlotte, North Carolina.

Stephanie A. Wilson
U.S. Securities and Exchange Commission
Assistant Regional Director-Regulation
44 Montgomery St, Suite 2800
San Francisco, CA 94104
(b)(6)

From: Schneider, Erin
To: Wilson, Stephanie; Winkler, Monique; Buchholz, Steven; Haddad, Edward G.
Subject: RE: Robinhood
Date: Monday, March 14, 2022 6:16:09 PM

How do you feel about that? No need to answer . . . . . When are they moving?

From: Wilson, Stephanie (b)(6) @sec.gov>
Sent: Monday, March 14, 2022 3:14 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6) @sec.gov>; Buchholz, Steven (b)(6) @sec.gov>; Haddad, Edward G. (b)(6) @sec.gov>
Subject: Robinhood

(b)(5)

Stephanie A. Wilson
U.S. Securities and Exchange Commission
Assistant Regional Director-Regulation
44 Montgomery St, Suite 2800
San Francisco, CA 94104
(b)(6)

From: Schneider, Erin
To: (b)(6)
Subject: RE: Rumors
Date: Tuesday, January 25, 2022 1:45:49 PM

I know – I have no idea how these things get started. (But I've learned that they tend to start when folks don't have info. It's sort of fascinating).

From (b)(6) b)(6) @SEC.GOV>
Sent: Tuesday, January 25, 2022 10:41 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: Rumors

(b)(5)

From: "Schneider, Erin" <SchneiderE@sec.gov>
Date: Tuesday, January 25, 2022 at 1:36 PM
To: (b)(6) b)(6) @SEC.GOV>
Subject: Rumors

(b)(5)

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Tomars, Michael
Subject: RE: sad :(
Date: Wednesday, January 5, 2022 4:58:25 PM

I know. She's truly one of a kind . . . . . That was very hard for her.

From: Tomars, Michael (b)(6) @sec.gov>
Sent: Wednesday, January 5, 2022 1:50 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: sad :(

From: Schneider, Erin
To: Brewer, Deidere R.
Subject: Re: San Francisco Regional Director Erin E. Schneider to Leave Agency
Date: Friday, March 25, 2022 8:42:18 PM

Thank you so much! Hard to leave today…..

Sent from my iPhone

> On Mar 25, 2022, at 8:55 AM, Brewer, Deidere R. (b)(6) @sec.gov> wrote:
>
> Hello Erin,
> Thank you for your service to the agency and best of luck to you on your new adventures!!!!
> Sincerely,
> Deidere
>
> **From:** Securities and Exchange Commission <sec@service.govdelivery.com>
> **Sent:** Friday, March 25, 2022 11:52 AM
> **To:** Brewer, Deidere R. (b)(6) @sec.gov>
> **Subject:** San Francisco Regional Director Erin E. Schneider to Leave Agency
>
> **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.
>
> You are subscribed to Press Releases from the Securities and Exchange Commission. A new press release is now available.
>
> ## San Francisco Regional Director Erin E. Schneider to Leave Agency
>
> *03/25/2022 11:45 AM EDT*
>
> The Securities and Exchange Commission today announced that Erin E. Schneider, the Director of the San Francisco Regional Office since 2019, is leaving the agency after more than 17 years of service. Monique C. Winkler will become the office's Acting…
>
> Capital Raising Building Blocks
>
> *Explore the fundamentals of capital raising with our latest tool, Building Blocks.*
>
> SEC Seal
>
>

From: Schneider, Erin
To: (b)(6)
Cc: Ro, Elena
Subject: Re: Santa Clara County
Date: Tuesday, March 15, 2022 12:25:20 PM

(b)(6) thank you so much!!! I'm hooking you up with (b)(6) who is the driving force behind this conference. I'm so happy you reached out (and so sad it won't be me working with you…..!)

Sent from my iPhone

On Mar 15, 2022, at 9:22 AM, West, Erin <ewest@dao.sccgov.org> wrote:

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 Erin,

I'm really enjoying the seminar so far. When I heard that you were suffering a Santa Clara County loss after (b)(6) moved on, I wanted to offer my assistance. I've been on the (b)(6)

(b)(6)

If I can be of any help with planning BaySEC or providing any assistance with locating speakers, it would be my pleasure.

And best of luck on your new endeavor!

(b)(6)

Santa Clara District Attorney's Office
70 West Hedding, West Wing
San Jose, CA 95110
(b)(6)

From: Schneider, Erin
To: Johnson, Marc
Subject: RE: Say it ain"t so!
Date: Thursday, March 3, 2022 3:45:53 PM

It is so . . . . . I'll reach out soon.

From: Johnson, Marc (b)(6) @SEC.GOV>
Sent: Thursday, March 3, 2022 12:45 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Say it ain't so!

Erin,

I just heard you will be leaving us soon. I'm very sorry to see you go, but I hope you're going somewhere you're excited about, and I wish you all the best.

Marc

From: Schneider, Erin
To: Davis, Tracy L.; Winkler, Monique
Subject: RE: schedule for case reviews today
Date: Monday, February 14, 2022 3:40:48 PM

Hi folks – I have a call with the Chairman (it's a monthly call) that starts at 1:00. Doubt it will be over by 130, but hopefully shortly thereafter? In any event, please start the case reviews without me and I will join as soon as I can. I just don't want to miss anything that might be important for the office.

From: Davis, Tracy L.(b)(6) @sec.gov>
Sent: Monday, February 14, 2022 12:05 PM
To: Winkler, Monique (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
Subject: schedule for case reviews today

1:30-1:45 – (b)(6) cases
1:45-2:00 (b)(5) ((b)(6))
2:00-2:15 (b)(5) ((b)(6))
2:15-2:30 (b)(5) ((b)(6))
2:30 -2:45 (b)(5) ((b)(6))
2:45-3:00 (b)(5) ((b)(6))
3:00-3:30 – (b)(6) cases

Tracy L. Davis|Assistant Regional Director, Division of Enforcement|
U.S. Securities and Exchange Commission|
44 Montgomery Street, Suite 2800 San Francisco, CA 94104|
Ph (b)(6) |email (b)(6) @SEC.GOV

From: Schneider, Erin
To: Schulman, Alice
Subject: RE: Schedule
Date: Wednesday, February 2, 2022 3:02:26 PM

Alice, of course, thanks for giving me the heads up.

-----Original Message-----
From: Schulman, Alice <(b)(6) @sec.gov>
Sent: Wednesday, February 2, 2022 12:01 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Schedule

(b)(6)

Thanks!

Alice
(b)(6)

From: Schneider, Erin
To: Serrano, Danae
Subject: RE: Schneider -- Update
Date: Tuesday, February 1, 2022 11:39:15 AM

Okay – can I give you a quick call now?

From: Serrano, Danae <(b)(6) @SEC.GOV>
Sent: Tuesday, February 1, 2022 8:37 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Schneider -- Update

Hello – I have time today. Other than 1:30-2 I am free until 4:10.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, February 01, 2022 11:25 AM
To: Serrano, Danae (b)(6) @SEC.GOV>
Subject: Schneider -- Update

Hi – I am no longer recused from (b)(6) Also, I wanted to ask you a few general questions if you had time later today/ this week.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Grewal, Gurbir
Subject: RE: Schneider
Date: Thursday, February 3, 2022 12:02:29 PM

Tried you – but this number is just going to a general SEC Directory. (b)(6) ?

From: Grewal, Gurbir (b)(6) @SEC.GOV>
Sent: Thursday, February 3, 2022 6:22 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Schneider

How about noon my time – you can call me at my desk (b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, February 2, 2022 5:11 PM
To: Grewal, Gurbir (b)(6) @SEC.GOV>
Subject: Schneider

Hi – I spoke with Dan Kahl very briefly this afternoon and also wanted to chat with you about my plans. Will you let me know when a good time for you is? I know you're busy and we have the CCM tomorrow. There's no rush on my end but wanted to make sure I reached out to you.

Thanks – hope all is well.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Kahl, Daniel
Subject: RE: Schneider departure -- awkward
Date: Thursday, March 10, 2022 11:53:05 AM

Yeah. I'm just trying to get as much of this out of the way because I am booked solid through my exit (I'm sure you are as well).

From: Kahl, Daniel (b)(6) @SEC.GOV>
Sent: Thursday, March 10, 2022 8:52 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Schneider departure -- awkward

I anticipate mine will be out before my last week if they get an acting lined up, but what do I know. Not much communication. Haven't started drafting mine.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, March 10, 2022 11:49 AM
To: Kahl, Daniel (b)(6) @SEC.GOV>
Subject: RE: Schneider departure -- awkward

Appreciate. I'm going to send along to ENF early next week – not sure what they will do re timing given we're both going out on the same day.

From: Kahl, Daniel (b)(6) @SEC.GOV>
Sent: Thursday, March 10, 2022 8:41 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Schneider departure -- awkward

Thanks – last day will be the 26th (same as you, right?). Might be an acting named before then. I or the new Acting should be quoted. Slightly revised the quote if you are ok with it, and would just bracket my name in the draft. Dan

(b)(5)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, March 9, 2022 12:51 PM
To: Kahl, Daniel (b)(6) @SEC.GOV>
Subject: Schneider departure -- awkward

Was waiting to send this until you had more clarity about your last day – but am sending now just to get the ball rolling. Please note that I have no idea whether or not you want to be quoted in any departure press release about me. I included you because others had it but am more than happy to delete it and you should not worry about hurting my feelings. We didn't get to work together much. This whole process is awkward. But here's my stab at your quote:

(b)(5)

(b)(5)

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: (b)(6)
Subject: RE: Schneider Files
Date: Wednesday, March 23, 2022 4:30:17 PM

Ready!!! (b)(6)

From: (b)(6) b)(6) @sec.gov>
Sent: Wednesday, March 23, 2022 1:02 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Schneider Files

OK – I left some empty boxes outside your door and a small box by your door. ☺

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, March 23, 2022 12:42 PM
To: (b)(6) b)(6) @sec.gov>
Subject: RE: Schneider Files

Ok! I have a meeting at 1 but then should be free after that

From: (b)(6) b)(6) @sec.gov>
Sent: Wednesday, March 23, 2022 11:58 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: RE: Schneider Files

Erin,

Just let me know when you are ready.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, March 22, 2022 12:33 PM
To: (b)(6) b)(6) @sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: Schneider Files

HI (b)(6) – will you be in the office tomorrow? I spoke with Elena about how to handle all of the files in my office and she said to work with you to get them all into the fileroom (for now). Will you have time to come by tomorrow so I can walk you through what the files are and where they need to go? Would greatly appreciate it!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: (b)(6)
Subject: RE: Schneider leaving SEC
Date: Wednesday, March 16, 2022 1:02:42 PM

I know – it's so sad that none of us have been able to get together since the pandemic started. We still haven't done anything live though I bet these guys will try to hold NWRC live (at least I hope they do). Will miss you!

From: (b)(6) @bcsc.bc.ca>
Sent: Wednesday, March 16, 2022 9:14 AM
To: Schneider, Erin <SchneiderE@sec.gov>; (b)(6) @bcsc.bc.ca>
Cc: Vasquez, Carlos (b)(6) @sec.gov>; Ro, Elena (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>
Subject: RE: Schneider leaving SEC

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Hi Erin,

Thank you so much for reaching out! You will be greatly missed. I have enjoyed getting to know you and working with you over the years, and I really appreciate you taking the time to come to Vancouver in 2020 for our conference (can you believe that that was the last conference we had pre-pandemic? Good thing that you came!) Wishing you all the best in your future endeavors and hoping we will cross path sometime soon.

Carlos, Elena and Monique – looking forward to hear from you about the NW conference!

Thanks and stay safe everyone!

(b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, March 15, 2022 2:53 PM
To: (b)(6) @bcsc.bc.ca>; (b)(6) @bcsc.bc.ca>
Cc: Vasquez, Carlos (b)(6) @sec.gov>; Ro, Elena (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>
Subject: Schneider leaving SEC

This email came from an external source. Only open attachments or links that you are expecting from a known sender.

Hi – I wanted to let the two of you know I was leaving the agency at the end of the month. It's not announced yet – so appreciate it if you would keep it under wraps, but I wanted to reach out because you two both have been so fun to work with over the years and I'm going to miss our Northwest Regulators folks so much! Hopefully our paths will cross again in the future.

In the meantime, I wanted to put you in touch with the folks who will be running NWRC this year – Carlos Vasquez, Elena Ro, and Monique Winkler. All three of them are copied above Carlos runs our Investor Services group, Elena our Operations, and Monique our ENF program. Given the change in leadership here in SFRO – we likely will push out NWRC until later in the year but these folks will be sure to be in touch.

I'm not sure if Kristin reached out to either of you – but she also left the agency at the end of January. Ed Haddad (a long-time examiner in our office) is replacing her on a temporary basis until a permanent replacement is found.

Best wishes for the future and I'm looking forward to seeing your work in the future!

My personal contact info is:

(b)(6)

(b)(6)

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Kolhatkar, Rahul
Subject: RE: Schneider
Date: Friday, March 4, 2022 1:18:04 PM

Ha ha, I know, [redacted] I definitely want to catch up before I go. [redacted]

From: Kolhatkar, Rahul [redacted]@SEC.GOV>
Sent: Friday, March 4, 2022 10:16 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Schneider

Erin,

Sorry, I was out of the office when your announcement came out. [redacted]

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, February 23, 2022 11:09 AM
To: #SFRO\EVERYONE [redacted]@SEC.GOV>
Subject: Schneider

Hi – for those of you who weren't able to attend the all-hands meeting (I know it was very short notice), I let folks know that I am leaving the Commission at the end of March. I knew this was going to be hard to write, but it is much harder today after the wonderful farewell we had with [redacted] yesterday.

I know for some this might feel like a lot of change coming on the heels of [redacted]s and [redacted]s departure – but the programs are and have been in strong hands for many years with the EXAMs ARDs, Monique, and Elena. More importantly, the heart and soul of this office truly rests with all of you. It is all of you who make this office strong, creative, relevant, and resilient. That didn't change with [redacted]'s departure and it won't change with mine. On the other hand, change is good and I am confident that SFRO and all of you will benefit from having new leaders in place with fresh perspective.

Ed Haddad has graciously agreed to serve as the Acting Examinations Associate until [redacted]'s spot is filled. Ed has truly seen it all and will be of great support to the EXAMs program during this period of transition. Thank you so much, Ed.

As my departure date gets closer, we will name an Acting Director to fill my role until a permanent replacement is named.

We have a few weeks to discuss anything that's on your mind – please know that my door/phone/computer continues is open to all of you at any time.

Best,
Erin

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission

44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: (b)(6); Winkler, Monique
Cc: Pendrey, Jeremy
Subject: RE: (b)(5)
Date: Thursday, January 20, 2022 6:18:39 PM

I don’t have anything further

From: (b)(6) @SEC.GOV>
Sent: Thursday, January 20, 2022 2:48 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6) @sec.gov>
Cc: Pendrey, Jeremy (b)(6) @sec.gov>
Subject: (b)(5)

Monique and Erin,

(b)(5)

Thanks,

(b)(6)

US Securities & Exchange Commission
44 Montgomery St., Ste 2800
San Francisco, CA 94104
(b)(6)

From: Schneider, Erin
To: Wilson, Stephanie
Subject: Re: (b)(5) call
Date: Tuesday, March 1, 2022 11:24:38 AM

Yes please

Sent from my iPhone

> On Mar 1, 2022, at 7:35 AM, Wilson, Stephanie (b)(6) @sec.gov> wrote:
>
> I think Kristin used to forward the invite to (b)(6) . I can do it if you'd like.
>
> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Monday, February 28, 2022 4:22 PM
> **To:** Wilson, Stephanie <(b)(6) @sec.gov>
> **Subject:** (b)(5) call
> I mentioned the (b)(5) call to (b)(6) today. Should someone from FWRO be on that Thursday call? Let me know.

From: Schneider, Erin
To: Tran, Teresa
Subject: RE: (b)(6) card is ready to CERT. eom
Date: Monday, March 14, 2022 2:56:41 PM

done

From: Tran, Teresa (b)(6) @SEC.GOV>
Sent: Monday, March 14, 2022 11:55 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(6) card is ready to CERT. eom

From: Schneider, Erin
To: (b)(6)
Subject: RE: SEC Info for Views from The Top
Date: Friday, January 21, 2022 1:01:56 PM
Attachments: 2022 Proposed Views from the Top Panelist Questions SEC.docx

Hi – here are the general questions that I think will allow me to talk generally about what our office is/will do. Let me know if you think we should add anything.

From: (b)(6)
Sent: Friday, January 14, 2022 4:26 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: SEC Info for Views from The Top

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.

No pressure at all! Next week is great. Just want to make sure I keep myself on track with everything I need to gather. Enjoy the long weekend!

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, January 14, 2022 3:53 PM
To: (b)(6)
Subject: [EXTERNAL] RE: SEC Info for Views from The Top

I definitely want to update the questions – just didn't know you wanted that today.

From: (b)(6)
Sent: Friday, January 14, 2022 2:27 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: SEC Info for Views from The Top

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.

Also, please let me know if you want to update the list of questions for Judge Gonzalez-Rogers. Thanks!

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, January 14, 2022 2:16 PM
To: (b)(6)
Subject: [EXTERNAL] SEC Info for Views from The Top

Hi (b)(6) – I said I would get this stuff to you today. So here it is. I also wanted to look for a few cases interpreting Liu and the NDAA – but just haven't done that yet. Is it possible to add those links later if I find them?

Here's my bio:

Erin E. Schneider Erin E. Schneider is the Regional Director of the U.S. Securities and Exchange Commission's San Francisco Office. The Regional Office has a staff of over 125 people and is responsible for the SEC's enforcement and examination programs in Northern California, Washington, Oregon, Montana, Idaho and Alaska with over 700 public companies, 1,400 investment advisers, almost 50 mutual fund complexes and over 250 broker-dealers located in the region. Ms. Schneider began working in the San Francisco office in 2005 as a staff attorney and has conducted and supervised investigations into a wide variety of financial misconduct. In 2012, she became an Assistant Regional Director in Enforcement's Asset Management Unit, and from 2015 to 2019 led the office's enforcement efforts as its Associate

2022 Views From the Top Questions for Panelists

SEC Erin Schneider

(b)(5)

Regional Director. Prior to joining the SEC staff, Ms. Schneider worked as a litigation associate in the Washington D.C. and San Francisco offices of Gibson, Dunn & Crutcher LLP, and as an auditor at PricewaterhouseCoopers LLP. Ms. Schneider earned her bachelor's degree in business administration from the University of California at Berkeley in 1995, and her law degree cum laude from the University of California's Hastings College of the Law in 2001.

And here are some CLE Links please feel free to format however you see appropriate.

Recently-filed enforcement cases:

- In the Matter of Poloniex, LLC (Aug. 9, 2021)
- In the Matter of Blockchain Credit Partners, d/b/a DeFi Money Market (Aug. 6, 2021)
- In the Matter of App Annie (Sep. 14, 2021)

Public Statements on SPACs:

- Financial Reporting and Auditing Considerations of Companies Merging with SPACs (Mar. 31, 2021) (Paul Munter, Acting Chief Accountant)
- Remarks Before the Healthy Markets Association Conference (Dec. 9, 2021) (Chair Gary Gensler)

Division of Examination Risk Alerts:

- The Division of Examinations' Continued Focus on Digital Asset Securities (Feb. 26, 2021)
- The Division of Examinations' Review of ESG Investing (Apr. 9, 2021)
- Observations from Examinations of Advisers that Provide Electronic Investment Advice (Nov. 9, 2021)

From: Schneider, Erin
To: Ro, Elena
Subject: RE: SEC Today, Jan. 14: early dismissal, time & attendance today; self-assessments due
Date: Friday, January 14, 2022 1:03:03 PM

XOXOXO

Non Responsive Record

From: Schneider, Erin
To: Winkler, Monique; (b)(6)
Subject: RE: SEC v Musk (SDNY) 18-cv-08865-AJN
Date: Thursday, February 17, 2022 12:51:15 PM
Attachments: image001.png

Ok will you do that?

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Thursday, February 17, 2022 9:40 AM
To: Schneider, Erin <SchneiderE@sec.gov>; (b)(6) (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>
Subject: RE: SEC v Musk (SDNY) 18-cv-08865-AJN
(b)(5)

> **From:** (b)(6) (b)(6) @sec.gov>
> **Sent:** Thursday, February 17, 2022 9:32 AM
> **To:** Winkler, Monique (b)(6) @sec.gov>; (b)(6) (b)(6) @SEC.GOV>
> **Subject:** FW: SEC v Musk (SDNY) 18-cv-08865-AJN
>
> **From:** (b)(6) (b)(6) @SEC.GOV>
> **Sent:** Thursday, February 17, 2022 4:22 AM
> **To:** (b)(6) (b)(6) @sec.gov>
> **Subject:** SEC v Musk (SDNY) 18-cv-08865-AJN
> Docket located here: (b)(7)(E)
> (b)(7)(E)
> (b)(6)
> Division of Enforcement
> U.S. Securities and Exchange Commission
> 44 Montgomery Street, Suite 2800
> (b)(6)
> (b)(6) @sec.gov

U.S. SECURITIES AND EXCHANGE COMMISSION

MCMXXXIV

From: Schneider, Erin
To: (b)(6)
Subject: RE: Securities Case
Date: Wednesday, February 9, 2022 7:30:19 PM

Hi (b)(6) – tried you back.

From: (b)(6)
Sent: Wednesday, February 9, 2022 2:55 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Securities Case

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.

Hey there,

I hope you're well. If you have a second, can you give me a call? (b)(6)

We received a complaint from investor regarding an alleged investment scam involving the movie industry.

The complaint references a prior SEC action involving at least one of the alleged perpetrators. I don't think this is a case that we are well suited to handling, and I'm trying to figure out where best to direct (b)(6)

Thanks,

(b)(6)

Assistant District Attorney
Alameda County
(b)(6)

From: Schneider, Erin
To: Valdez, Victor
Subject: RE: Self-Assessment -- Confidential
Date: Wednesday, February 2, 2022 11:00:16 AM
Attachments: Schneider Self Assessment 2021.docx

From: Valdez, Victor (b)(6) @SEC.GOV>
Sent: Wednesday, February 2, 2022 6:52 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Self-Assessment

Hi Erin,

Can you send me your self-assessment? This is easier than getting Gurbir or (b)(6) to pull it out of LEAP.

Thanks!

Vic

From: Schneider, Erin
To: Winkler, Monique; (b)(6) Pendrey, Jeremy
Cc: (b)(6)
Subject: RE: Settlement demand in (b)(5) (b)(7)(A))
Date: Thursday, February 17, 2022 2:44:58 PM

I don't

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Thursday, February 17, 2022 11:42 AM
To: Schneider, Erin <SchneiderE@sec.gov>; (b)(6) (b)(6) @SEC.GOV>; Pendrey, Jeremy (b)(6) @sec.gov>
Cc: (b)(6) (b)(6) @SEC.GOV>
Subject: RE: Settlement demand in (b)(5) (b)(7)(A))

Does anyone else have comments before Ruth sends?

From: Winkler, Monique
Sent: Wednesday, February 16, 2022 8:14 AM
To: (b)(6) (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>; (b)(6) (b)(6) @SEC.GOV>
Cc: Pendrey, Jeremy (b)(6) @sec.gov>
Subject: RE: Settlement demand in (b)(5) (b)(7)(A))

(b)(5)

From: (b)(6) (b)(6) @SEC.GOV>
Sent: Tuesday, February 15, 2022 3:52 PM
To: Winkler, Monique (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>; (b)(6) (b)(6) @SEC.GOV>
Cc: Pendrey, Jeremy (b)(6) @sec.gov>
Subject: Settlement demand in (b)(5) (b)(5))

Hi all,

Here's the draft email to the front office for your review.

(b)(6)

///

(b)(5)

(b)(5)

(b)(6)

US Securities & Exchange Commission
44 Montgomery St., Ste 2800
San Francisco, CA 94104

(b)(6)

From: Schneider, Erin
To: Bennett, Bryan; Horton, Vanessa L.
Subject: RE: SF Associate -- Resume Reviewers
Date: Monday, March 7, 2022 3:33:39 PM

(b)(5)

From: Schneider, Erin
Sent: Friday, March 4, 2022 12:26 PM
To: Bennett, Bryan (b)(6) @sec.gov>; Horton, Vanessa L. (b)(6) @sec.gov>
Subject: SF Associate -- Resume Reviewers

(b)(5)

Thanks – Erin

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: (b)(5); (b)(6); (b)(7)(C)
Date: Monday, January 31, 2022 12:08:58 PM

Looks great, thank you so much.

From: Winkler, Monique (b)(6)@sec.gov>
Sent: Monday, January 31, 2022 7:29 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: (b)(5); (b)(6); (b)(7)(C)

(b)(5)

From: (b)(6) (b)(6)@SEC.GOV>
Sent: Friday, January 28, 2022 8:38 AM
To: Winkler, Monique (b)(6)@sec.gov>
Cc: (b)(6) (b)(6)@sec.gov>; (b)(6) (b)(6)@SEC.GOV>
Subject: (b)(5); (b)(6); (b)(7)(C)

(b)(5); (b)(6); (b)(7)(C)

Good Morning, Monique –

(b)(5); (b)(6); (b)(7)(C)

Best,

(b)(6)

U.S. Securities and Exchange Commission
San Francisco Regional Office
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4802
T. (b)(6)

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: (b)(5) formal order
Date: Monday, January 3, 2022 11:10:42 AM

Thanks so much

From: Winkler, Monique (b)(6)@sec.gov>
Sent: Monday, January 3, 2022 8:10 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: (b)(5) formal order
I think I forgot to pass this one along.

> **From:** Winkler, Monique
> **Sent:** Thursday, December 23, 2021 10:45 AM
> **To:** (b)(6) (b)(6)@SEC.GOV>
> **Cc:** (b)(6) <(b)(6)@sec.gov>
> **Subject:** RE: (b)(5) formal order
> Thanks (b)(6) These look good. There were just a couple of extra spaces in the FO. Attached is the signed pdf of the memo, a revised FO in word, and the signed pdf of the FO.
> Happy holidays!
> Monique
>
> > **From:** (b)(6) (b)(6)@SEC.GOV>
> > **Sent:** Thursday, December 23, 2021 10:12 AM
> > **To:** Winkler, Monique (b)(6)@sec.gov>
> > **Cc:** (b)(6) (b)(6)@sec.gov>
> > **Subject:** (b)(5) formal order
> > Hi Monique,
> > Attached is a formal order request memo and formal order in (b)(7)(A) (b)(5)
> > Please let me know if you have any questions.
> > Thanks,
> > (b)(6)
> > (b)(6) Division of Enforcement
> > U.S. Securities and Exchange Commission
> > 44 Montgomery St., Ste 2800 San Francisco, CA 94104
> > (b)(6)
> > (b)(6)@sec.gov

From: Schneider, Erin
To: Lago, Kelly
Subject: RE: SFRO DR vacancy link
Date: Friday, March 18, 2022 12:14:36 PM

Thanks. Your info is correct my last day is March 26. I've been trying to figure out when they're going to announce it but am still waiting – hopefully that will happen before I leave and then it can go up. I'll keep you posted.

From: Lago, Kelly (b)(6) @SEC.GOV>
Sent: Friday, March 18, 2022 9:10 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: SFRO DR vacancy link

We are happy to work with your timeframe. We started working with OHR when we were advised you would be leaving at the end of the month. If that is not the case, please let me know. That way, I can keep OHR in the loop if we are holding off on posting the vacancy.

We definitely do not wish to get ahead of any public announcement of your departure.

Kelly Lago
Admin Branch Chief
Office of Operations, Projects & Planning
Division of Enforcement
(b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, March 18, 2022 12:03 PM
To: Lago, Kelly (b)(6) @SEC.GOV>
Subject: RE: SFRO DR vacancy link

Thanks. Do you know when this is slated to go up? I ask only because my departure has not yet been announced to the public, and I wouldn't want this to front-run that.

From: Lago, Kelly (b)(6) @SEC.GOV>
Sent: Friday, March 18, 2022 8:58 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: SFRO DR vacancy link

Good morning,

The announcement for the SFRO RD position is ready. Please see link below prior to for final review.

(b)(5)

If you have no questions, please let me know if you wish to have this posted on Monday.

Thank you.

Kelly Lago

Admin Branch Chief

Office of Operations, Projects & Planning

Division of Enforcement

(b)(6)

From: Schneider, Erin
To: Peavler, David L.
Subject: RE: SFRO EXAM Associate -- Confidential
Date: Friday, March 25, 2022 5:55:02 PM

Super good advice. I hope we cross paths again before too long as well. (b)(6)
(b)(6)
(b)(6)

From: Peavler, David L. (b)(6) @SEC.GOV>
Sent: Friday, March 25, 2022 2:45 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: SFRO EXAM Associate -- Confidential

Sorry I couldn't make the call earlier today, but my views are very close to everyone else's.

I suspect your desk is just about cleaned off by now. Really wish you the best at the new gig. I hope you find it rewarding in all of the good ways. My only advice as you head out – (b)(6)
(b)(6)

I hope we cross paths again before too long. Fare well!

David

(b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, March 25, 2022 4:34 PM
To: (b)(6) (b)(6) @SEC.GOV>; Thompson, Joy G. (b)(6) @SEC.gov>
Cc: Layne, Michele W. (b)(6) @sec.gov>; Peavler, David L. (b)(6) @SEC.GOV>; Jones, Nekia (b)(6) @SEC.GOV>; (b)(6) (b)(6) @SEC.GOV>
Subject: SFRO EXAM Associate -- Confidential

Hi Natasha and Joy –

Thank you so much for chatting earlier this morning with the first round panel. Was able to touch base with (b)(6) and he's agreed to serve as the point person to keep this slot moving through the agency (thank you so much, (b)(6) !!!). You two already have the spreadsheet from the first round with our scores. We recommend the following (b)(5) individuals for a second round interview: (b)(5); (b)(6) – all from SFRO.

Happy to discuss or please also feel free to reach out to (b)(6)

I can't thank Michele, David, and Nekia enough for being willing to help with the first round interviews – thank you.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Ro, Elena
Subject: RE: SFRO office space
Date: Tuesday, February 15, 2022 2:48:40 PM

Let me go grab lunch and then we can chat. Did you get lunch?

From: Ro, Elena (b)(6) @sec.gov>
Sent: Tuesday, February 15, 2022 11:47 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: SFRO office space

Didn't want to bother you with this until this morning's event was done. Hoping to chat with you about this and another item when you have time.

From: Jindra, Jan (b)(6) @SEC.GOV>
Sent: Monday, February 14, 2022 3:00 PM
To: Ro, Elena (b)(6) @sec.gov>
Cc: Gunning, Robert (b)(6) @SEC.GOV>
Subject: SFRO office space

Hi Elena,

Sorry to bug you – I know you said, it may take some time to figure out the office space situation in SFRO. I'm just checking so that I can keep everyone informed.

Jan Jindra, Ph.D.
Assistant Director
Office of Litigation Economics
Division of Economic and Risk Analysis
U.S. Securities and Exchange Commission
44 Montgomery Street 2800, San Francisco, CA 94104
Office: (b)(6)
Cell: (b)(6)

From: Schneider, Erin
To: Ro, Elena
Subject: RE: SFRO policy on travel during COVID/telework posture
Date: Friday, January 7, 2022 3:00:12 PM

(b)(5)

From: Ro, Elena (b)(6) @sec.gov>
Sent: Friday, January 7, 2022 11:59 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: SFRO policy on travel during COVID/telework posture

(b)(5)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, January 7, 2022 11:50 AM
To: Ro, Elena (b)(6) @sec.gov>
Subject: RE: SFRO policy on travel during COVID/telework posture

(b)(5)

From: Ro, Elena (b)(6) @sec.gov>
Sent: Friday, January 7, 2022 11:40 AM
To: LaMarca, Susan F. (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6) @sec.gov>
Subject: RE: SFRO policy on travel during COVID/telework posture

(b)(5)

From: LaMarca, Susan F. (b)(6) @sec.gov>
Sent: Friday, January 7, 2022 11:31 AM
To: Ro, Elena (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6) @sec.gov>
Subject: FW: SFRO policy on travel during COVID/telework posture

(b)(5)

From: Chen, Ellen (b)(6) @SEC.GOV>
Sent: Thursday, January 6, 2022 1:59 PM
To: LaMarca, Susan F. (b)(6) @sec.gov>; Ro, Elena (b)(6) @sec.gov>
Cc: Lyttle, Jeffrey A. (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>

Subject: RE: SFRO policy on travel during COVID/telework posture

Thanks for the response Suzy. That makes sense to me.

(b)(5)

Thanks for the background!

Ellen

From: LaMarca, Susan F. (b)(6) @sec.gov>
Sent: Thursday, January 6, 2022 10:28 AM
To: Ro, Elena (b)(6) @sec.gov>; Chen, Ellen (b)(6) @SEC.GOV>
Cc: Lyttle, Jeffrey A. (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>
Subject: RE: SFRO policy on travel during COVID/telework posture

Thanks Ellen,

Good question!! I think we (me!!?) are seriously spooked by the new "variant" and how ubiquitous it is. But so are the courts. Luckily (for me anyway!), all our hearings have been "remote" and we do not have the option of appearing in person.

Because everything seems to change faster than the weather with Covid, My goal is to address this as fast as we can when we have an actual event.

I do know that in another office, when there was an in-person trial, before the latest variant, there were staff who did not feel comfortable travelling or being in a court room. Their position was respected – they did NOT show up to the trial.

Glad to chat about this though.

Suzy

From: Ro, Elena (b)(6) @sec.gov>
Sent: Thursday, January 6, 2022 10:13 AM
To: Chen, Ellen (b)(6) @SEC.GOV>
Cc: Lyttle, Jeffrey A. (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>; LaMarca, Susan F. (b)(6) @sec.gov>
Subject: RE: SFRO policy on travel during COVID/telework posture

(b)(5)

From: Chen, Ellen (b)(6) @SEC.GOV>
Sent: Thursday, January 6, 2022 10:00 AM
To: Ro, Elena (b)(6) @sec.gov>
Cc: Lyttle, Jeffrey A. (b)(6) @sec.gov>
Subject: SFRO policy on travel during COVID/telework posture

Elena,

I wasn't sure what the answer was to a question that was posed to me, so I wanted to run it by you. What is the SEC and/or SFRO policy on travel given our current situation with COVID and telework posture? More specifically, if there is an ongoing case and the Court wants to hold an in-person hearing, but the SFRO staff doesn't want to travel/go in-person due to COVID, how should this be handled?

Happy to chat live if easier…

Thanks,

Ellen

Ellen Chen

Division of Enforcement

U.S. Securities and Exchange Commission

44 Montgomery Street, Suite 2800

San Francisco, CA 94104

P: (b)(6)

(b)(6) @sec.gov

From: Schneider, Erin
To: Haddad, Edward G.; O"Toole, Matthew M.
Cc: Ro, Elena
Subject: RE: SFRO Reg Counsel Duties & Responsibilities
Date: Friday, February 25, 2022 6:38:47 PM

Ditto!!!!!!!

From: Haddad, Edward G. (b)(6) @sec.gov>
Sent: Friday, February 25, 2022 3:26 PM
To: O'Toole, Matthew M. (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: RE: SFRO Reg Counsel Duties & Responsibilities

Thanks Matt. Much appreciated! Now go and enjoy yourself!

From: O'Toole, Matthew M. (b)(6) @sec.gov>
Sent: Friday, February 25, 2022 3:00 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Haddad, Edward G. (b)(6) @sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: SFRO Reg Counsel Duties & Responsibilities

Hi—I prepared the attached list to help whoever my successor is. As I was the first (and only) Reg Counsel in our office, I did some things that other offices' reg counsels might not have done, but I tried to be as comprehensive as possible in creating this document to help my successor in getting up to speed on whatever duties are assigned to them.

As I mentioned to Ed, please feel free to ask me anything of note after I've left, if necessary on a no names basis. My successor should feel free to do that as well if I can be of assistance to them in any way. I want to help that person in any way I possibly could.

Hope this is helpful!

Thanks,
Matt

Thank you,

Matthew M. O'Toole, Esq.
Senior Special Counsel (Regulatory Counsel)--Division of Examinations
U.S. Securities and Exchange Commission
San Francisco Regional Office
44 Montgomery St. Suite 2800
San Francisco, CA 94104
(b)(6) (phone)
(fax)

From:
To:
Cc:
Subject:
Date:

Can I help you with [illegible]

Sent from my iPhone

On [illegible] 2022, at [illegible] PM, [illegible] (b)(6) [illegible] wrote:

(b)(6) (b)(6) (b)(6) (b)(6) (b)(6) (b)(6) (b)(6) (b)(6) (b)(6) (b)(6) (b)(6) (b)(6)

From: Schneider, Erin
To: (b)(6)
Cc: (b)(6)
Subject: Re: SFRO Women"s History Month Event with AAC and WC
Date: Friday, March 11, 2022 1:43:12 PM
Attachments: image001.png
image003.png
image004.png
image005.png
image001.png
image003.png
image001.png
image004.png
image005.png

Yay!!!

Sent from my iPhone

On Mar 11, 2022, at 10:31 AM, (b)(6) @sec.gov> wrote:

FYI, the SEC Today notice for the American Women Quarters event should go out in Monday's edition:

From: (b)(6) @SEC.GOV>
Sent: Friday, March 11, 2022 8:57 AM
To: SEC Today (b)(6) @SEC.GOV>
Cc: (b)(6) @sec.gov>
Subject: RE: SFRO Women's History Month Event with AAC and WC

Thanks, (b)(6) I am pulling together events for the Diversity Council meeting and just saw it on the Exchange calendar. Thank you!

(b)(6)

From: SEC Today (b)(6) @SEC.GOV>
Sent: Friday, March 11, 2022 11:56 AM
To: (b)(6) @SEC.GOV>
Cc: (b)(6) @sec.gov>
Subject: RE: SFRO Women's History Month Event with AAC and WC

This one is all set for Monday's edition. Have a great weekend!

(b)(6)
Editor-writer (contractor)
Office of Public Affairs
OFFICE (VM) (b)(6)
(b)(6) @sec.gov

<!--[if !vml]--><!--[endif]-->

U.S. Securities and Exchange Commission

From: (b)(6) @SEC.GOV>

U.S. Securities and Exchange Commission

U.S. Securities and Exchange Commission

PRIDE

ALLIANCE ALLY

Sent: Thursday, March 10, 2022 11:44 AM
To: SEC Today (b)(6) @SEC.GOV>
Cc: (b)(6) @sec.gov>
Subject: SFRO Women's History Month Event with AAC and WC

Good morning,

Please find the attached SEC Today notice for a new Women's History Month event hosted by the SFRO, the AAC, and Women's Committee. We will send the WebEx once it's available. Thanks.

(b)(6)
Diversity Specialist
Office of Minority and Women Inclusion (OMWI)
OFFICE (b)(6)
MOBILE (b)(6)
(b)(6)@sec.gov

<!--[if !vml]--> <!--[endif]-->

U.S. Securities and Exchange Commission

ALLIANCE ALLY

From: Schneider, Erin
To: Lorenzen, Barbara S.; Thompson, Angela
Subject: RE: SFRO Writing Course
Date: Monday, February 7, 2022 2:38:11 PM

Great. I have a meeting with the EXAM supervisors on Thursday morning – so would be great to hear by then if you could! THANK You!

From: Lorenzen, Barbara S. (b)(6) @sec.gov>
Sent: Monday, February 7, 2022 11:37 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Thompson, Angela (b)(6) @SEC.GOV>
Subject: RE: SFRO Writing Course

We'll get back to you with dates.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, February 07, 2022 1:35 PM
To: Thompson, Angela (b)(6) @SEC.GOV>
Cc: Lorenzen, Barbara S. (b)(6) @sec.gov>
Subject: SFRO Writing Course

HI Angela – re the writing course for SFRO that we discussed last week, do you know what dates (b)(6) has available? Or should we tell you what dates are good for us?

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Thompson, Angela
Cc: Lorenzen, Barbara S.; (b)(6) ; Ro, Elena
Subject: RE: SFRO Writing with (b)(6) UPDATE
Date: Wednesday, February 9, 2022 12:11:08 PM

Thanks (b)(6) . When you get dates will you circle back around with both me AND Elena Ro, copied above? She'll also be able to help getting things scheduled on our end.

From: Thompson, Angela (b)(6) @SEC.GOV>
Sent: Tuesday, February 8, 2022 4:14 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Lorenzen, Barbara S. (b)(6) @sec.gov>; (b)(6)
(b)(6) @SEC.GOV>
Subject: SFRO Writing with (b)(6) UPDATE

Erin,

Barb and I met with SECU to discuss the requested writing course. SECU is at the point where they are reviewing scheduling and SF-182s statuses.

We anticipate an update soon. We have the money in our budget, but have to wait out the process.

In the interim, I suggest we plan for a late spring/early fall session.

We will circle back once we hear from SECU.

Enjoy your evening!

Angie

From: Schneider, Erin
To: Duggins, Jennifer
Subject: RE: SFRO
Date: Monday, February 7, 2022 11:40:49 AM

Oh I will! Thank you so much, Jen.

From: Duggins, Jennifer (b)(6) @SEC.GOV>
Sent: Monday, February 7, 2022 8:30 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: SFRO
If I can do anything at all, please let me know. I have a very good relationship with (b)(6) and (b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, February 7, 2022 11:30 AM
To: Duggins, Jennifer (b)(6) @SEC.GOV>
Subject: RE: SFRO
Thank you! There is no Acting for now – I'm going to cover (b)(6) spot with the hopes that we can fill it permanently (we'll see how this goes).

From: Duggins, Jennifer (b)(6) @SEC.GOV>
Sent: Monday, February 7, 2022 8:28 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: SFRO
Hi Erin!
Hope you are well. Just fyi on the below.

From: Harris, Matthew D. (b)(6) @SEC.GOV>
Sent: Monday, February 7, 2022 11:27 AM
To: Duggins, Jennifer (b)(6) @SEC.GOV>
Subject: SFRO
Do you know who the acting associate is to replace Kristin?
Matthew D Harris, CFA
Assistant Director and Co-Head
Private Funds Unit
(b)(6)

From: Schneider, Erin
To: Uclusin, Wilda A.; Ro, Elena
Subject: RE: Slideshow for (b)(6)
Date: Thursday, January 13, 2022 12:47:54 PM

Thanks so much (b)(6)

From: Uclusin, Wilda A. (b)(6) @sec.gov>
Sent: Thursday, January 13, 2022 9:47 AM
To: Ro, Elena (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Slideshow for (b)(6)
Good morning Ladies. I'll be happy to help out.
I'm in training until 12:30pm today so I'll check out the photos afterwards.

Thanks for thinking of me. Have a good day. -W

From: Ro, Elena (b)(6) @sec.gov>
Sent: Thursday, January 13, 2022 9:22 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Uclusin, Wilda A. (b)(6) @sec.gov>
Subject: RE: Slideshow for (b)(6)
Also, Wilda, I asked (b)(6) months ago to consolidate a lot of those photos into one PDF so you don't have to open one by one. I'm not sure how far (b)(6) got, but you could try looking for the largest PDF first in each folder, in hopes that is the consolidated one. Thanks!

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, January 13, 2022 9:11 AM
To: Uclusin, Wilda A. (b)(6) @sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: Slideshow for (b)(6)
Hi Wilda – would you be willing to do a fun (but I know it's going to be time consuming) project to help with (b)(6) farewell? It would be awesome to be able to put together a short slideshow of some pictures of (b)(6) in the office. A few heartfelt ones – a few funny ones (please make sure the (b)(6) is in one of them!). All of our photos are in the same place on the J. Drive but it is a pretty painstaking process to open them up. Anyway, it doesn't have to be a long slideshow – would just be great if we can get some photos of (b)(6) with folks throughout the years. (b)(6) going away is January 25th. I think Elena (copied above) will probably run the slideshow from in the office just to make sure we don't have any bandwidth issues but we can talk about that later.
(b)(6)
Let me know if you want to discuss! And appreciate.
Erin

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Best, Richard R
Subject: Re: SLRO Interview Prep
Date: Tuesday, March 15, 2022 11:58:03 AM

Ok then resend my prep invite bc I declined it…..

Sent from my iPhone

> On Mar 15, 2022, at 8:49 AM, Best, Richard R <(b)(6)@sec.gov> wrote:
>
> I sent (b)(6) a suggestion to move the first interview to Thursday at 12 pm ET (9 am PT).
> -----Original Appointment-----
> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Tuesday, March 15, 2022 11:24 AM
> **To:** Best, Richard R
> **Subject:** Declined: SLRO Interview Prep
> **When:** Wednesday, March 16, 2022 5:30 PM-6:00 PM (UTC-05:00) Eastern Time (US & Canada).
> **Where:** WebEx
> This will be after the first interview – did you meant to set something up before then?

From: Schneider, Erin
To: Gregus, Daniel
Cc: Best, Richard R; Ro, Elena
Subject: Re: SLRO RD IVs
Date: Friday, March 25, 2022 8:21:30 PM

Thanks Dan. Elena Ro, copied here, has my records and she can get someone to scan and send if needed.

Sent from my iPhone

> On Mar 25, 2022, at 1:57 PM, Gregus, Daniel (b)(6) [redacted] @sec.gov> wrote:
>
> Rich,
>
> (b)(5) [redacted]
>
> Thanks,
> DRG

From: Schneider, Erin
To: Snyder, Kristin A.
Subject: Re: Snyder Press Release--would love your thoughts!
Date: Wednesday, January 19, 2022 12:14:18 AM
Attachments: Snyder departure press release.docx

I just went to look at this and realized today is not Monday. I'm so sorry. Did you already send it along?

Sent from my iPhone

> On Jan 17, 2022, at 2:10 PM, Snyder, Kristin A. (b)(6) @sec.gov> wrote:
>
> Revised release incorporating Dan's helpful comments. Thanks!
>
> **From:** Snyder, Kristin A.
> **Sent:** Sunday, January 16, 2022 1:29 PM
> **To:** Kahl, Daniel (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>
> **Subject:** Snyder Press Release--would love your thoughts!
> Hi there,
> Not sure if Gary will want a quote, but I'd love your thoughts on this. I tried to keep it short and sweet. (b)(6) and have no pride of authorship here!
> Thank you! I'm going to try to get this to Scott Schneider on Tuesday, if possible.
> Thanks,
> Kristin

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: SO call
Date: Friday, March 4, 2022 3:15:03 PM

(b)(5)

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Friday, March 4, 2022 12:13 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: SO call

Any idea why we are having an SO call Monday?

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6) @sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: running a few mins late
Date: Thursday, February 24, 2022 4:30:02 PM

From: Schneider, Erin
To: Winkler, Monique
Subject: running late on OIG call -- start without me
Date: Friday, February 11, 2022 3:04:29 PM

From: Schneider, Erin
To: Haddad, Edward G.; Winkler, Monique; Pendrey, Jeremy
Subject: running two mins late -- on phone with (b)(6)
Date: Wednesday, March 23, 2022 4:02:36 PM

From: Schneider, Erin
To: Uclusin, Wilda A.; Ro, Elena; Winkler, Monique
Subject: (b)(6)
Date: Monday, March 7, 2022 11:25:12 AM

(b)(6)

From: Schneider, Erin
To: Kahl, Daniel; Snyder, Kristin A.
Subject: Schneider had hard stop at 3:30 today -- just FYI
Date: Monday, January 24, 2022 2:56:11 PM

Hi – just an FYI if we go over 3:30 today – I have a hard stop then because I have a meeting with a Judge then. If I'm not there – SFRO's updates are Four Pillars PLUS SFRO farewell for Kristin tomorrow.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: (b)(6)
Subject: RE: Office review completed for (b)(7)(A)
Date: Tuesday, March 22, 2022 2:32:23 PM

I am!!!!! But don't worry I am coming back tomorrow for sure (I've made no progress cleaning this morning).

From: (b)(6) (b)(6) @SEC.GOV>
Sent: Tuesday, March 22, 2022 9:44 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Office review completed for (b)(7)(A)

I'll take care of that, thanks.

Did you make it into the office today? (b)(6)
(b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, March 22, 2022 8:21 AM
To: (b)(6) (b)(6) @SEC.GOV>; (b)(6) (b)(6) @sec.gov>; Pendrey, Jeremy (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>
Subject: FW: Office review completed for (b)(7)(A)

Hi – just a note that you guys should remove my name from this before it goes to the Commission. Boo.

From: Memo Tracking System Enforcement – 2.0 <(b)(6) @sec.gov>
Sent: Tuesday, March 22, 2022 6:34 AM
To: (b)(6) (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>; (b)(6) (b)(6) @sec.gov>; Pendrey, Jeremy (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>; (b)(6) (b)(6) @SEC.GOV>
Subject: Office review completed for (b)(7)(A)

(b)(7)(A) has been reviewed by (b)(6)
Please see the enclosed link to access any comments or other attachments.

RMP Link: (b)(7)(A)

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: On Charimans call -- will call you in a bit
Date: Monday, January 10, 2022 4:46:06 PM

It's because you're nicer than me. I was like "yeah yeah, your news, but what about me?"

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Monday, January 10, 2022 1:44 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: On Charimans call -- will call you in a bit
No - just (b)(6) news

On Jan 10, 2022, at 1:43 PM, Schneider, Erin <SchneiderE@sec.gov> wrote:

Did yesterday. Did (b)(talk to you about (b)(6) ? If not, I can fill you in.

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Monday, January 10, 2022 1:41 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: On Charimans call -- will call you in a bit
Nothing much - just wondering if you have spoken to (b)(6) recently.

On Jan 10, 2022, at 1:38 PM, Schneider, Erin <SchneiderE@sec.gov> wrote:

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: outlines
Date: Tuesday, March 15, 2022 10:33:56 AM

Thanks! Ha Ha, yes I but (b)(6)

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Tuesday, March 15, 2022 6:38 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: outlines

Sorry – (b)(6)

> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Monday, March 14, 2022 10:32 PM
> **To:** Buchholz, Steven (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>
> **Subject:** outlines
>
> Sorry for the last minute notice – but will you guys shoot me your outlines in the morning? Just so I can work anything into my opening remarks. (b)(6) – I saw an email from you on the J. Drive that had your list of proposed topics – that works unless you had something else you were planning on using. Doesn't matter if it's completely rough – I just want to have a general idea. Anytime in the morning is fine.
>
> *Erin E. Schneider*
> Regional Director
> United States Securities & Exchange Commission
> 44 Montgomery Street, Suite 2800
> San Francisco, California 94104
> 415.705.2500
> schneidere@sec.gov

From: Schneider, Erin
To: Snyder, Kristin A.
Subject: RE: Outside Folks
Date: Tuesday, January 11, 2022 8:19:08 PM

Sounds perfect

From: Snyder, Kristin A. (b)(6) @sec.gov>
Sent: Tuesday, January 11, 2022 5:07 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Outside Folks
(b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, January 11, 2022 4:42 PM
To: Snyder, Kristin A. (b)(6) @sec.gov>
Subject: RE: Outside Folks
My guess is that the internal folks would think it was awkward if outside folks were there. But what do YOU want? (b)(6)

From: Snyder, Kristin A. (b)(6) @sec.gov>
Sent: Tuesday, January 11, 2022 4:09 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Outside Folks
Let me think about it. It seems like it could be kind of awkward—what do you think?

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, January 11, 2022 2:57 PM
To: Snyder, Kristin A. (b)(6) @sec.gov>
Subject: Outside Folks
Do you want outside folks are your Farewell Zoom? (b)(6) ? Others? Can see pros and cons. But just want what you want.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique; Davis, Tracy L.
Subject: RE: (b)(5)
Date: Wednesday, February 16, 2022 8:13:23 PM

(b)(5) thanks!

From: Winkler, Monique (b)(6)@sec.gov>
Sent: Wednesday, February 16, 2022 12:28 PM
To: Davis, Tracy L. (b)(6)@sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: (b)(5)

Thanks for all of your work on this Tracy. (b)(5)

> **From:** Davis, Tracy L. (b)(6)@sec.gov>
> **Sent:** Tuesday, February 15, 2022 8:38 PM
> **To:** Winkler, Monique (b)(6)@sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
> **Subject:** (b)(5)
>
> Erin and Monique,
>
> Attached (b)(5)
> (b)(5)
>
> Tracy L. Davis|Assistant Regional Director, Division of Enforcement|
> U.S. Securities and Exchange Commission|
> 44 Montgomery Street, Suite 2800 San Francisco, CA 94104|
> Ph (b)(6) |email (b)(6)@SEC.GOV

From: Schneider, Erin
To: Winkler, Monique; Ro, Elena
Subject: RE: PIV Card Renewals and Fingerprinting
Date: Wednesday, March 23, 2022 2:45:31 PM

You are the best

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Wednesday, March 23, 2022 11:34 AM
To: Ro, Elena (b)(6) @sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: PIV Card Renewals and Fingerprinting

Thanks Elena!

> **From:** Ro, Elena (b)(6) @sec.gov>
> **Sent:** Wednesday, March 23, 2022 11:31 AM
> **To:** Winkler, Monique (b)(6) @sec.gov>
> **Cc:** Schneider, Erin <SchneiderE@sec.gov>
> **Subject:** FW: PIV Card Renewals and Fingerprinting
>
> Fun!
>
> We're in pretty good shape. The only employees with expired PIV cards are (b)(5) (b)(5) and (b)(5). Everyone else is up to date, including the folks on 29 who don't even report to SFRO.
>
> **From:** Johnson, Kenneth A. (OCOO) (b)(6) @SEC.GOV>
> **Sent:** Wednesday, March 23, 2022 11:22 AM
> **To:** #Managing Executives (b)(6) @SFC.GOV>; #ARDOs Regions (b)(6) @SFC.GOV>; #BusMgrs(HQ) (b)(6) @SFC.GOV>; Wilkerson, Lakeshia D (b)(6) @SEC.GOV>; Doherty, Elizabeth (b)(6) @SEC.GOV>; Olivo, Ana (b)(6) @SEC.GOV>; Webster, Angela (b)(6) @SEC.GOV>; Brewer, Deidere R. (b)(6) @sec.gov>
> **Cc:** Girod, Olivier A (b)(6) @SFC.GOV>; Hunter, Dean (b)(6) @SFC.GOV>; Wedlund, Ryan (b)(6) @SEC.GOV>
> **Subject:** PIV Card Renewals and Fingerprinting
>
> During the last few weeks, we've experienced a downward trend in the number of new COVID-19 cases. In an effort to promote safety and security and to ensure a seamless return to the office when conditions permit, I have asked the Office of Security Services (OSS) to begin the following efforts, effective April 1, 2022:
>
> - Require the renewal of expired ID badges (also known as Personal Identity Verification cards or "PIV Cards") for Non-Bargaining Unit (NBU) employees. Bargaining unit employees will still be strongly encouraged, but not required, to come into the office for these badge renewals.
> - Reinstitute the requirement to provide fingerprints as a part of the background investigation process
>
> For HQ, OSS will conduct this effort in a staggered approach, one Division at a time, in accordance with Badging Office processing capacity. When it is your Division's time for processing, OSS will reach out to the Managing Executive (ME) or Business Manager (BM)

and provide a list of NBU employees that require PIV card renewals and/or fingerprints. The ME or BM will have an opportunity to vet the list and postpone renewals for individuals that require additional time (e.g., due to extended leave). OSS will then send an email via the USAccess system to each employee with instructions and a link for scheduling in-person renewal appointments.

Regional Office Assistant Regional Directors of Operations (ARDOs) should develop a schedule for NBU employee PIV card renewals in a similar fashion and coordinate with OSS as appropriate, based upon regional processing capacity and OSS scheduling capacity.

All employees must schedule and complete appointments within four weeks of receiving their notification email. OSS will provide periodic status reports to each ME and ARDO.

Because we are requiring employees to come to the office during the voluntary return period, we will reimburse incurred parking or transportation costs, as appropriate.

Your assistance in helping NBU employees to meet the four week requirement would be much appreciated.

Thank you,

Ken

From: Schneider, Erin
To: Pendrey, Jeremy
Cc: (b)(6) Winkler, Monique
Subject: Re: Please participate in a Discussion related to (b)(7)(A)
Date: Tuesday, January 18, 2022 12:44:43 PM

That is amazing!!! Great work!

And does this mean (b)(6) is back?!?!?! So excited

Sent from my iPhone

> On Jan 18, 2022, at 9:42 AM, Pendrey, Jeremy (b)(6)@sec.gov> wrote:
>
> We got a pass on the 2B. No need to be on the call for (b)(7)(A)
>
> **From:** Memo Tracking System Enforcement – 2.0 (b)(6)@sec.gov>
> **Sent:** Tuesday, January 18, 2022 9:41 AM
> **To:** (b)(6) (b)(6)@SEC.GOV>; (b)(6) (b)(6)@SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>; Pendrey, Jeremy (b)(6)@sec.gov>; Winkler, Monique (b)(6)@sec.gov>; (b)(6) (b)(6)@SEC.GOV>
> **Subject:** Please participate in a Discussion related to (b)(7)(A) (b)(7)(A)
>
> A discussion regarding (b)(7)(A) has been created or updated. Please follow the enclosed link to view the latest addition to the discussion.
>
> Discussion Link : 2B pass & follow up comments
>
> RMP Link: (b)(7)(A)

From: Schneider, Erin
To: Ro, Elena
Subject: RE: PLEASE READ before responding to email with subject line Thomas King via Document Cloud (Response to SEC Request)
Date: Wednesday, January 19, 2022 12:39:39 PM

Ha ha ha ha ha ha ha ha ha

From: Ro, Elena (b)(6) @sec.gov>
Sent: Wednesday, January 19, 2022 9:09 AM
To: #SFRO\EVERYONE (b)(6) @SEC.GOV>
Subject: RE: PLEASE READ before responding to email with subject line Thomas King via Document Cloud (Response to SEC Request)

And I just learned it was a test by the SEC to see who would click on it, so I guess my email was not very helpful to support that test! Anyways, we are all safe for now regardless.

From: Ro, Elena (b)(6) @sec.gov>
Sent: Wednesday, January 19, 2022 9:03 AM
To: #SFRO\EVERYONE (b)(6) @SEC.GOV>
Subject: PLEASE READ before responding to email with subject line Thomas King via Document Cloud (Response to SEC Request)

Hi all – this email is spam. Please delete and do not respond or click on the link. We have reported it to OIT. Thanks!

Thomas King has shared
Response to SEC Request.pdf

View

SENT BY	Thomas King
SHARED ON	01/19/2022

Hello SEC user, please see our reponse to the SEC request, and let us know if you have any questions.

Manage Your Account | Customer Support | Forums | Terms of Use | Report Abuse

From: Schneider, Erin
To: Hodgman, Melissa R.
Subject: Re: Please Review your OIT Mobile Equipment and Assets
Date: Friday, March 11, 2022 10:48:23 AM

But ironically hilarious

Sent from my iPhone

> On Mar 11, 2022, at 7:47 AM, Hodgman, Melissa R. (b)(6) @sec.gov> wrote:
>
> Unbelievable. Disappointing.
>
> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Friday, March 11, 2022 10:47 AM
> **To:** Hodgman, Melissa R. (b)(6) @sec.gov>
> **Subject:** Re: Please Review your OIT Mobile Equipment and Assets
> Btw this is the most efficient I've ever seen the agency be. They've canceled my charge card, told me I need to (b)(5) (b)(5) etc etc etc. (b)(6) (b)(6)
>
> Sent from my iPhone
>
>> On Mar 11, 2022, at 5:31 AM, Hodgman, Melissa R. (b)(6) @sec.gov> wrote:
>>
>> So depressing to see, but still very excited for you.
>> **From:** EPP (b)(6) @sec.gov>
>> **Sent:** Friday, March 11, 2022 8:15 AM
>> **To:** Schneider, Erin <SchneiderE@sec.gov>; Hodgman, Melissa R. (b)(6) @sec.gov>
>> **Cc:** ExitCoordinator (b)(6) @SEC.GOV>
>> **Subject:** Please Review your OIT Mobile Equipment and Assets
>> Hello SCHNEIDER, ERIN,
>> The **OIT** has completed verifying the mobile equipment and assets that have been issued to you. Please review this data in your EPP Employee Profile. Discrepancies should be brought to the attention of your IT Specialist.
>>
>> If you are located in SEC Headquarters, all mobile equipment must be returned to the **Walk-In Service Desk** in room LL801. If you are located in a regional office, all mobile equipment must be returned to the IT Specialist. All items are to be returned prior to your separation from the SEC.

Please contact the Exit Coordinator at (b)(6) @sec.gov with any questions.

Thank You

*B_ER3_OITTacAmb_Completed_Info_General*2013

From: Schneider, Erin
To: Ro, Elena
Subject: RE: Possible Visit to SFRO by Gurbir (next week)
Date: Monday, February 28, 2022 7:25:33 PM

Okay, let's chat more tomorrow. I chatted with (b)(6) and got more entrenched in my position for a number of reasons but (b)(6) was also going to noodle on things).

From: Ro, Elena (b)(6)@sec.gov>
Sent: Monday, February 28, 2022 4:23 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Possible Visit to SFRO by Gurbir (next week)
No problem! Monique and I chatted today. Everyone is up to speed with each other. ☺

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, February 28, 2022 4:12 PM
To: Ro, Elena (b)(6)@sec.gov>
Subject: RE: Possible Visit to SFRO by Gurbir (next week)
Thank you so much.

From: Ro, Elena (b)(6)@sec.gov>
Sent: Monday, February 28, 2022 3:51 PM
To: Grewal, Gurbir (b)(6)@SEC.GOV>
Cc: Schneider, Erin <SchneiderE@sec.gov>; Kinney, Tasha (b)(6)@SEC.GOV>; Winkler, Monique (b)(6)@sec.gov>; Wood, Zachary (b)(6)@SEC.GOV>
Subject: RE: Possible Visit to SFRO by Gurbir (next week)
Great – I am here in SFRO so please just call me at (b)(6) upon arrival.

From: Grewal, Gurbir (b)(6)@SEC.GOV>
Sent: Monday, February 28, 2022 3:48 PM
To: Ro, Elena (b)(6)@sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>; Kinney, Tasha (b)(6)@SEC.GOV>; Winkler, Monique (b)(6)@sec.gov>; Wood, Zachary (b)(6)@SEC.GOV>
Subject: Re: Possible Visit to SFRO by Gurbir (next week)
Hi — I'll be there by 430 and docking station should be great. Tomorrow I'll have to play by ear.

Sent from my iPhone

> On Feb 28, 2022, at 9:16 AM, Ro, Elena (b)(6)@sec.gov> wrote:
>
> Wonderful – please go to 44 Montgomery at the corner of Montgomery and Market in San Francisco. You will check in at the front guard desk with photo ID, and your name will already be there for admission. They will let you up to the 28th floor, and I will be in SFRO to greet you. However, if you call me at (b)(6) once you get to 44 Montgomery, then I can also just come downstairs and grab you – whichever way you're more comfortable with.
> Will you be in SFRO tomorrow, Tuesday, as well? I know you confirmed today and Wednesday. Also, would you like to dock your laptop directly into the network with 2

screens? We can set all of that up for you. Thanks much!

From: Grewal, Gurbir <(b)(6) @SEC.GOV>
Sent: Monday, February 28, 2022 6:56 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Ro, Elena <(b)(6)@sec.gov>; Kinney, Tasha (b)(6) @SEC.GOV>
Subject: Re: Possible Visit to SFRO by Gurbir (next week)

Hi all—

I get in this afternoon and was hoping to come by the office around 4 pm PST to work for a couple of hours, and then hoping to come in and work Wednesday before and after my panel. Please let me know where to go and how to get in. I have my laptop.

Thx,
Gurbir

Sent from my iPhone

> On Feb 23, 2022, at 3:41 PM, Schneider, Erin <SchneiderE@sec.gov> wrote:
>
> Hi Gurbir and Elena – wanted to hook the two of you up by email. Gurbir, Elena is our Assistant Regional Director for Operations (she spent many years in ENF as well) and she can help to make your trip into SFRO as easy as possible next week. Feel free to reach out to her directly or let us know if there's someone else we should reach out to.
>
> Erin
>
> *Erin E. Schneider*
> Regional Director
> United States Securities & Exchange Commission
> 44 Montgomery Street, Suite 2800
> San Francisco, California 94104
> 415.705.2500
> schneidere@sec.gov

From: Schneider, Erin
To: Buchholz, Steven; Winkler, Monique
Subject: 05-26-2016_LA-04279_NuGold Resources, Inc_SO.pdf
Date: Thursday, January 20, 2022 12:18:38 PM
Attachments: 05-26-2016_LA-04279_NuGold Resources, Inc_SO.pdf

Here's one (settled) stop order case. I think I have one more (and I know I have a whole file in the office on this!!!!)

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Koretke, Charles
Subject: Ask
Date: Thursday, January 13, 2022 2:18:45 PM

Hi there – can you get me added to Trends and any associated notifications that (b)(6) normally gets in the interim period where we don't have an Exam Associate? Would greatly appreciate.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Koretke, Charles
Subject: bio
Date: Wednesday, February 23, 2022 6:59:01 PM

(b)(5)

From: Schneider, Erin
To: LaMarca, Susan F.; Winkler, Monique
Subject: Cases with YGR? -- can you answer by 12:30?
Date: Monday, January 24, 2022 3:01:10 PM

Sorry for the last minute question – but do we have any cases pending before YGR or any recent ones that just concluded? I have a prep session with her at 12:30 for Views from the Top and just wanted to be aware of anything we have with her. Thanks!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Pauley, Kristin; Winkler, Monique; Ro, Elena
Subject: Chat re ENF investigation re 12(g)

Elena – I know you look booked – no worries if you can't make it.

-- Do not delete or change any of the following text. --

When it's time, join your Webex meeting here.

Join meeting (b)(6)

More ways to join:

Join from the meeting link

(b)(6)

Join by meeting number

Meeting number (access code): (b)(6)

Meeting password: (b)(6) (from phones and video systems)

Tap to join from a mobile device (attendees only)
(b)(6) USA Toll 2
US Toll
Some mobile devices may ask attendees to enter a numeric meeting password.

Join by phone
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US Toll
Global call-in numbers (b)(6)

Join from a video system or application
Dial (b)(6)

Join using Microsoft Lync or Microsoft Skype for Business

Dial (b)(6)

If you are a host, click here (b)(6) to view host information.

Need help? Go to https://help.webex.com <https://help.webex.com>

From: Schneider, Erin
To: Ro, Elena
Subject: (b)(6) called me at 2:00
Date: Friday, February 25, 2022 5:33:57 PM

From: Schneider, Erin
To: (b)(6)
Subject: Complaint (002).pdf
Date: Thursday, January 20, 2022 12:18:41 PM
Attachments: Complaint (002).pdf

Thanks,

Erin

Erin E. Schneider
Regional Director
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44 Montgomery Street, Suite 2800
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& DOWD LLP
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mjanoski@rgrdlaw.com
tliu@rgrdlaw.com

Lead Counsel for Plaintiff

UNITED STATES DISTRICT COURT

NORTHERN DISTRICT OF CALIFORNIA

OAKLAND DIVISION

In re ALPHABET, INC. SECURITIES LITIGATION	Master File No. 4:18-cv-06245-JSW
	CLASS ACTION
This Document Relates To: ALL ACTIONS.	CONSOLIDATED AMENDED COMPLAINT FOR VIOLATION OF THE FEDERAL SECURITIES LAWS
STATE OF RHODE ISLAND/OFFICE OF THE RHODE ISLAND TREASURER ON BEHALF OF THE EMPLOYEES' RETIREMENT SYSTEM OF RHODE ISLAND, Individually and on Behalf of All Others Similarly Situated, Plaintiff, vs. ALPHABET, INC., LAWRENCE E. PAGE, SUNDAR PICHAI, GOOGLE LLC, KEITH P. ENRIGHT, and JOHN KENT WALKER, JR. Defendants.	DEMAND FOR JURY TRIAL

Lead Plaintiff State of Rhode Island, Office of the Rhode Island Treasurer on behalf of the Employees' Retirement System of Rhode Island ("Plaintiff"), on behalf of itself and the Class (as defined below) it seeks to represent, alleges the following upon knowledge as to its own acts and upon the investigation conducted by its counsel, which included, among other things, a review of: U.S. Securities and Exchange Commission ("SEC") filings by Alphabet; securities analysts' reports about Alphabet; press releases and other public statements issued by the Companies (as defined herein) and media reports about the Companies.

INTRODUCTION

1. This securities class action is brought on behalf of those who purchased or otherwise acquired securities of Alphabet, Inc. ("Alphabet") between April 23, 2018 and October 7, 2018, inclusive (the "Class Period"), seeking to pursue remedies under §§10(b) and 20(a) of the Securities Exchange Act of 1934 ("Exchange Act") and Rule 10b-5 promulgated thereunder.

2. This case arises out of defendants' misleading statements relating to data security and management integrity. Specifically, defendants learned of a three-year-long software glitch in the Google+ social media network that potentially exposed the private personal data of millions of Google+ users to third-parties, and led to the discovery of other systemic vulnerabilities that further compromised the data security of Google+ users. Defendants knew of these data-security issues in March of 2018, but for months, they continued to stress to investors the importance of data security and simply warned investors about ***risks*** related to data-security issues and concerns, while concealing that these risks had already been realized and that defendants had such poor security controls and record keeping that they could not determine the scope of the data breach, identify all of the affected users, detect other data-security bugs, or protect the private personal data of the tens of millions of Google+ users. The *Wall Street Journal* ("*WSJ*") led the exposure of defendants' scheme, triggering governmental investigations, Congressional hearings, the shutdown of the Google+ social media network, undermined confidence in the integrity of defendants' data security and management, and damaged investors.

JURISDICTION AND VENUE

3. The claims asserted herein arise under and pursuant to §§10(b) and 20(a) of the Exchange Act, 15 U.S.C. §§78j(b) and 78t(a), and Rule 10b-5 promulgated thereunder by the U.S. Securities and Exchange Commission ("SEC"), 17 C.F.R. §240.10b-5.

4. This Court has jurisdiction over the action pursuant to 28 U.S.C. §1331 and §27 of the Exchange Act.

5. Venue is proper in this Judicial District pursuant to §27 of the Exchange Act, 15 U.S.C. §78aa, and 28 U.S.C. §1391(b) as Alphabet and Google LLC are headquartered in this Judicial District.

6. In connection with the acts and conduct alleged in this Complaint, defendants, directly or indirectly, used the means and instrumentalities of interstate commerce, including, but not limited to, the United States mail, interstate wire and telephone communications, and the facilities of a national securities exchange.

THE PARTIES

7. Plaintiff, as set forth in the certification previously submitted and incorporated herein by reference, acquired Alphabet securities at an artificially inflated price during the Class Period and was damaged as a result of defendants' alleged misconduct. *See* ECF No. 19-3.

8. Defendant Alphabet is a multinational conglomerate headquartered in Mountain View, California. Its ordinary shares trade on the NASDAQ Global Select Market ("NASDAQ") under the ticker symbol "GOOG." As of January 31, 2019, there were 349,291,348 ordinary shares of Alphabet stock outstanding.

9. Defendant Google LLC is a technology company that specializes in Internet-related services and products, which include online advertising technologies, search engine, cloud computing, software, and hardware. Alphabet was created after a corporate restructuring of Google, Inc. on October 2, 2015, where Alphabet became the parent company of Google, Inc. and several other Google, Inc. subsidiaries. As part of the Alphabet reorganization, Google, Inc. was converted

into a limited liability company in September 2017.[1] Google is a wholly owned subsidiary of Alphabet.

10. Defendant Keith P. Enright ("Enright") was Google's Legal Director of Privacy from 2016 until September 2018, when he became Google's Chief Privacy Officer. In addition, since May 2018, Enright has been Google's "data protection officer" ("DPO") for the purpose of compliance with the European Union's General Data Protection Regulation ("GDPR").

11. Defendant Lawrence E. Page ("Page") is the co-founder of Google. In 2001, Page stepped aside as Google's CEO, only to resume the role in 2011. Just four years later, Page became the CEO of Alphabet. Throughout the Class Period, Page sat on Alphabet's Board of Directors, and was a member of the Board's three-person Executive Committee.

12. Defendant Sundar Pichai ("Pichai") has served as Chief Executive Officer ("CEO") of Google since 2015. Pichai's involvement with Google began in 2004, when he joined as the head of product management and development. In 2008, after working on Google's own browser, Chrome, Pichai was named Vice President of Product Development, and in 2012, he was named Senior Vice President. Thereafter, in 2014, Pichai was made product chief over both Google and the Android smartphone operating system. Throughout the Class Period, Pichai sat on Alphabet's Board of Directors, and beginning in April 2018 became a member of the Board's three-person Executive Committee.

13. Defendant John Kent Walker, Jr. ("Walker") was Google's Vice President and General Counsel from 2006 until August 2018, when he became Google's Senior Vice President for Global Affairs. As General Counsel, Walker was responsible for managing Google's global legal team and advising the company's Board of Directors and management on legal issues and corporate governance matters.

14. The defendants referenced above in ¶¶10-13 are also referred to herein as the "Individual Defendants."

---

[1] Google, Inc. and Google LLC are collectively referred to herein as "Google." Google and Alphabet are collectively referred to as "the Companies."

15. During the Class Period, the Individual Defendants, as senior executive officers and/or directors of Alphabet and/or Google, were privy to confidential and proprietary, non-public information concerning the Companies' operations and possessed the power and authority to control the contents of the Companies' public statements, including quarterly and annual reports, press releases, Congressional testimony, and presentations to securities analysts, money and portfolio managers, and institutional investors. They either made or received the Companies' statements alleged herein to be misleading prior to or shortly after their issuance and had the ability and opportunity to prevent their issuance or cause them to be corrected. Because of their positions with the Companies, personal participation in the fraud as detailed herein, communications with other corporate officers and employees, including their attendance at management and Board of Directors meetings, and their access to material non-public information available to them but not to the public, the Individual Defendants knew or disregarded with severe recklessness that the adverse facts specified herein had not been disclosed to, and were being concealed from, the investing public.

16. The Individual Defendants are liable as direct participants in the wrongs complained of herein. In addition, Page and Pichai, by reason of their status as senior executive officers and/or directors, were "controlling persons" within the meaning of §20(a) of the Exchange Act, and had the power and influence to cause the Companies to engage in the unlawful conduct complained of herein. Because of their positions of control, Page and Pichai were able to, and did, directly or indirectly control the conduct of the Companies' business.

17. As senior executive officers and/or directors of a publicly traded company whose stock was, and is, registered with the NASDAQ and governed by the federal securities laws, the Individual Defendants had a duty to promptly disseminate accurate and truthful information with respect to the Companies' security measures, data protections, operations, business, products, management, and earnings, and to correct any previously issued statements that had been materially misleading or untrue, so that the market price of Alphabet securities would be based upon truthful and accurate information. The Individual Defendants' omissions during the Class Period violated these requirements and obligations.

SUBSTANTIVE ALLEGATIONS

The Companies' Professed Commitment to "Do[ing] the Right Thing"

18. Alphabet is essentially a holding company. Its lifeblood is Google, and Google's lifeblood is technology and trust. In just two decades, Google has grown to one of the world's most valuable companies based on technology that: (1) allows it to track and collect an unprecedented amount of personal information about people; and (2) enables it to use that information to help companies sell stuff to those people. No matter what anyone does anywhere, Google is watching, or trying to watch. Without tremendous trust in Google's technology and management, consumers and investors would condemn what Google does as not just an invasion of privacy, but the destruction of privacy.

19. Google's founders, Sergey Brin and defendant Page, were acutely aware of the fine line between innovative assistance and insidious invasiveness. Google's technology is inextricably intertwined with its trustworthiness because without extensive consumer buy-in and participation, Google would be worthless because it would not have a critical mass of personal data to mine and exploit. This is why Google has always gone to great lengths to portray itself as uncommonly trustworthy. The prospectus for its initial public offering memorialized this portrayal:

> DON'T BE EVIL
>
> ***Don't be evil. We believe strongly that in the long term, we will be better served – as shareholders and in all other ways – by a company that does good things for the world even if we forgo some short term gains. This is an important aspect of our culture and is broadly shared within the company.*** (Emphasis in original.)
>
> * * *
>
> MAKING THE WORLD A BETTER PLACE
>
> We aspire to make Google an institution that makes the world a better place. . . . We know that some people have raised privacy concerns, primarily over Gmail's targeted ads, which could lead to negative perceptions about Google. However, we believe Gmail protects a user's privacy. By releasing services, such as Gmail, for free, we hope to help bridge the digital divide. AdWords connects users and advertisers efficiently, helping both. . . .
>
> SUMMARY AND CONCLUSION

> Google is not a conventional company. Eric, Sergey and I intend to operate Google differently, applying the values it has developed as a private company to its future as a public company. Our mission and business description are available in the rest of this prospectus; we encourage you to carefully read this information. We will optimize for the long term rather than trying to produce smooth earnings for each quarter. . . . We are conscious of our duty as fiduciaries for our shareholders, and we will fulfill those responsibilities. . . . We will live up to our "don't be evil" principle by keeping user trust and not accepting payment for search results.
>
> * * *
>
> We have a strong commitment to our users worldwide, their communities, the web sites in our network, our advertisers, our investors, and of course our employees. Sergey and I, and the team will do our best to make Google a long term success and the world a better place.

20. In October 2013, Google's then-Executive Chairman, Eric Schmidt ("Schmidt"), made clear that if Google were to have a significant data breach "it would be devastating." Schmidt emphasized that regardless of the succession plan at Google, when it comes to data breaches, "[w]e're always one mistake away. It's inconceivable you could materially change that." Schmidt reassured conference attendees that Google's focus on data privacy would remain constant because then-CEO Page "is so precisely wired on these issues, it is inconceivable that there would ever be a change" and Google's culture was so strongly fixed on data security that it would remain the focus of the company for the foreseeable future.

21. Years later, when Google created its own parent, Alphabet, "don't be evil" became "do the right thing," but the message remained the same: you can trust us.

22. Following the creation of Alphabet, the Companies continued to tout their leadership in data-use transparency and security, not only as a central pillar of the Companies' culture, but also as a competitive advantage for Google and Alphabet to succeed in new products and new markets.

23. For example, at the November 17, 2016 Phocuswright Conference for travel industry leaders, Oliver Heckmann ("Heckmann"), Google's Vice President of Travel, assured investors that Google was uniquely well-positioned in the travel sector precisely because of its ability to leverage its strategy of data movement across its various services while keeping the trust of its customers by "giving the user full control and ownership of [her or his] data." Heckmann stated that maintaining users' trust is essential to making users "more willing to have that data . . . used" across platforms, for example when allowing Google to analyze an air travel receipt from its user's Google Mail

(Gmail) account inbox and automatically importing those flight details into the user's Google Calendar account:

> **Elizabeth Harz –Adara – President, Media & CMO**
>
> So, as a consumer, I certainly see how my United flight data goes from Google Mail to my calendar and I would just love to get Google's perspective on data strategy – the collection, ownership, privacy. Many of those questions come up when you experience that kind of data movement.
>
> **Oliver Heckmann – Google Inc – VP, Travel**
>
> Yes, privacy is actually a topic that's important for us and as you know or might not know, there is something that's called the Google Dashboard that is creating transparency over the data that we have and the different services that Google has to the user, and it's using pretty clear language and it's giving the user full control and ownership of the data. ***And we feel that that's an important thing to do and as the user is in control and ownership of the data, he is more willing to have that data be used for us to create some delightful experiences.*** If the user is not opting out of those services, what we can do is we can, from the email receipt in his inbox, for example, that's a new version of Gmail, we can show you your travel information more structured so you don't have to – you are landing in Paris; you are on roaming; you need to find your hotel and then the faster we can actually get you to that information, the more delightful and the less stressful your travel experience is going to be.

24. At the February 14, 2017 Goldman Sachs Technology Conference, Diane Greene ("Greene"), Board Member of Alphabet and Senior Vice President of Google Cloud, touted Google's superior data security as enhancing its prospects in the cloud computing and financial-technology ("FinTech") industries:

> ***Security, Google's had security pretty much from day one because of the necessity to keep people's data private. I think we arguably have the most secure cloud on the planet, but we've also really hunkered down over the last 16 months to get all the compliance and regulatory so our large customers can prove to their customers and to their regulators that they are indeed secure. I mean security matters from the board on down to the individual user, IT worker at a company,*** it's so important and if you look at things like G Suite, our productivity suite built in the cloud completely in the secure cloud and you map that to the diskless Chromebook, you actually can run a workforce with an amazing level of security.
>
> Google, when I say it's a privilege to be at Google, Google organizing the world's information, we've been inventing how to manage data for 16 years now, how to really quickly go through massive amounts of data.
>
> * * *
>
> **Unidentified Audience Member**
>
> Could you talk a little more in detail about why FinTech has you so excited?

> **Diane Greene - Alphabet Inc - SVP, Google Cloud**
>
> Oh, why does FinTech have me so excited? Well, it's a huge segment of the IT market, and we are like, there is a lot of data in FinTech, there's a lot of things just ripe for machine learning. ***And security is paramount there, it just seems so suited to our strengths and that's what we are seeing.*** And also we're working with all the banks on projects and we can see how much there is to do. FinTech is, I mean, since my days at Sybase I've been working with FinTech, it's a big industry and there's a lot to do there.

25. At the September 7, 2017 Citi Global Technology Conference, Greene continued to highlight Google's focus on security and on being a "pioneer" in keeping "customers' data private." Greene began her speech with a nod to security, stating that it "is the most pervasive problem" facing any company because a "data breach is so expensive":

> We've got – we run approximately 1/3 of the world's Internet traffic. And in over the last 3 years, we spent $29 billion in CapEx, continuing to build out, keeping up with the enormous growth we're seeing.
>
> ***So I want to start with security because I strongly believe that is the most pervasive problem every company has. The data breach is so expensive, I think, our health record is $400 a health record if you get breached. And so Google, with all the information we have and the need to keep our customers' data private, has had to be a pioneer, and we feel pretty good about where we are in security, not that we aren't vigilant with our 800-plus dedicated security engineers every day. But I would say, all of Google's some-30,000-plus engineers are kind of security engineers, and we've built security into every layer of the system.*** From proprietary purpose-built chips like Titan that say that the hardware hasn't been tampered with and you're running a binary you think you are to every layer of the stack on up to the software that detects a phishing attack and then in your mail and then says if someone tries – if you gave the password and someone tries to use it, it says, "Are you sure this person should have your password or do you want to change your password?"
>
> And we've also developed perimeter-less security, because if you just have a firewall protecting everything, if someone gets inside, you're kind of in trouble. And so we can look at what you're doing, where you're coming from and what call you're making, so that many, many of our services, Google services are just out there on the open Internet, because we can protect them much better than we could with a firewall.
>
> And you take something like a Chromebook with its – the Chrome OS tiny attack surface updated in the Cloud constantly. You don't get a Ransomware attack then or something like Heartbleed a few years ago. Google had that patched before it was publicly announced.

26. Although he was not one of Google's founders, Google's CEO, Pichai, embraced and perpetuated this mantra, as he demonstrated in this January 24, 2018 statement:

> I think today we always think we operate under the framework that users use Google because they trust us and it is something easy to lose if you are not good stewards of

> it. So we work hard to earn the trust every day. You know one of the biggest concerns of data as you saw through last year is security of data. So for example, when you use G-mail we work hard to make sure we keep your e-mail safe from all kinds of attacks that's possible. And I think that's the framework by which we operate. But I think that I always think data belongs to the user and as companies we are only stewards of it.

27. Consistent with Pichai's statement, for years, the Companies acknowledged the risks of their intertwined dependence on technology and trust, including in the "Risk Factors" section of Alphabet's 2017 Annual Report on Form 10-K ("2017 10-K"), which assured investors that "we expect to continue to expend significant resources to maintain state-of-the-art security protections that shield against theft and security breaches," but warned of the following risks, among others:

(a) "***Privacy concerns relating to our technology could damage our reputation and deter current and potential users or customers from our products and services***." (Emphasis in original.)

(b) "***If our security measures are breached resulting in the improper use and disclosure of user data, or if our services are subject to attacks that degrade or deny the ability of users to access our products and services, our products and services may be perceived as not being secure, users and customers may curtail or stop using our products and services, and we may incur significant legal and financial exposure***." (Emphasis in original.)

(c) "Concerns about our practices with regard to the collection, use, disclosure, or security of personal information or other privacy related matters, even if unfounded, could damage our reputation and adversely affect our operating results."

(d) "Any systems failure or compromise of our security that results in the release of our users' data, or in our or our users' ability to access such data, could seriously harm our reputation and brand and, therefore, our business, and impair our ability to attract and retain users."

(e) "Our security measures may also be breached due to employee error, malfeasance, system errors or vulnerabilities, including vulnerabilities or our vendors, suppliers, their products, or otherwise."

(f) "Such breach or unauthorized access, increased government surveillance, or attempts by outside parties to fraudulently induce employees, users, or customers to disclose sensitive information in order to gain access to our data or our users' or customers' data could result in significant legal and financial exposure, damage to our reputation, and a loss of confidence in the security of our products and services that could potentially have an adverse effect on our business."

28. Beyond these risk warnings, Alphabet informed investors of the following realized risk: "We experience cyber attacks of varying degrees on a regular basis."

29. Echoing the importance of data security to the Companies at the February 13, 2018 Goldman Sachs Technology & Internet Conference, Greene stated that "security, first and foremost"

was Google's competitive advantage versus other cloud providers because of Google's sophistication at security matters and its history of discovering major vulnerabilities:

> **Heather Anne Bellini - Goldman Sachs Group Inc., Research Division - MD & Analyst**
>
> Right. So if you were sitting down with a CIO and they asked you, "What are your top 3 competitive advantages versus the other cloud providers?" What would be those 3 things?
>
> **Diane B. Greene - Alphabet Inc. – Director**
>
> Yes. Well, I'd say it's security, first and foremost, simply because I don't think anyone can afford not to be as secure as possible. And we've – not only do we discover these major problems, like the [Speck Hammer] or the Heartbleed and what have you, but we also – like with 1.4 billion Gmail accounts, we see everything. We can tell you, "Hey, someone – you just gave away your password. Are you sure you wanted to do it because we're not going to let them log in if you want to change your password?" And so we're even that sophisticated now. And so – and then what we're doing increasingly with GCP. So I say security and just because it's just so important. And then it's data analytics and machine learning and AI and . . . .

30. Alphabet's Chief Financial Officer ("CFO"), Ruth Porat ("Porat"), told analysts at the February 26, 2018 Morgan Stanley Technology, Media & Telecom Conference that because of "all that's going on with security" and the fact that security is "clearly what we've built Google on," the continued monetization of Google's advertised focus on privacy and security would remain a key strategic priority of the Companies:

> And then in terms of the key strategic priorities, they are the ones that we've been talking about for quite some time, and they really play to our strengths. One of the most important is all that's going on with security. We believe we're a leader in security. It's clearly what we've built Google on. And we're continuing to raise the bar there, just the extraordinary engineers we have. We're now taking this to the next level. And one of the things that we talked about is through 2017, with the development of a proprietary security chip that really enables us to take identification and authentication into hardware. So it's not just about software, it's also about hardware.

The Google+ Social Media Platform –
A "Social Layer" Across All Google Services

31. Google launched the Google+ platform in June 2011 in an attempt to make a social media network to rival that of Facebook and Twitter, and to join all users of Google services (*i.e.*, Search, Gmail, YouTube, Maps) into a single online identity. As explained in March 2012 by then-Senior Vice President of Social, Vic Gundotra, "'[a]t its simplest level, Google+ is a social layer

across all of Google's services.'" Pichai similarly admitted to *Forbes* in February 2015 that "'Google+ has always meant two things'" for the company:

> "There's the stream in the product that you see." But Google+ also provided a way for the company to ensure users were signed in to its services with "a common identity across our products," he said. "The second part was in many ways even more important than the first part. That part has worked really well for us."

32. Because the company initially viewed Google+ as "'the next version of Google,'" defendants integrated Google+ into every other Google service, with former CEO Page even tying employee bonuses to the success of the Google+ platform. For instance, in late 2011. Google changed the sign up process for Gmail, whereby creating a Google or Gmail account would automatically create a Google+ profile. Google also released the Hangouts messaging app in 2011, which required a Google+ account to use. In 2013, Google similarly announced that users would be required to log in to a Google+ account in order to leave comments on YouTube. Even Google Search – the cornerstone of Google's business and one of the most frequented destinations on the Internet – was integrated into the Google+ platform with the "Search plus Your World" feature in 2012.

In Early 2018, Google Faced Unprecedented Public and Regulatory Scrutiny for Its Data Collection and Privacy Practices

33. By the spring of 2018, the trustworthiness of technology and those who control it were under unprecedented scrutiny. A pivotal moment was on March 17, 2018, when *The Observer* and the *New York Times* published reports alleging that research firm Cambridge Analytica improperly harvested data from Facebook users' profiles. The immediate effects of these allegations were devastating to Facebook and its investors. For example, in the week following the publication of these reports, Facebook's common stock suffered its third worst week in the company's history, declining more than 13% and losing approximately $75 billion of market capitalization. Almost immediately, Congressional hearings into Facebook's leak of user information to third-party Cambridge Analytica were underway and threatened to turn to Google's data collection and privacy practices:

(a) On March 26, 2018, the *Washington Post* published an article titled "Congress wants to drag Google and Twitter into Facebook's privacy crisis," which reported that:

> The Senate Judiciary Committee's chairman, Republican Sen. Chuck Grassley (Iowa), on Monday scheduled an April 10 hearing on the "future of data privacy and social media" – and the panel said it would explore potential new "rules of the road" for those companies.
>
> * * *
>
> [T]he Senate Judiciary Committee's hearing spells the first time that congressional lawmakers have expanded their scrutiny to include Zuckerberg's peers, Google CEO Sundar Pichai and Twitter CEO Jack Dorsey. The result could be a hearing that exposes both of those tech giants – whose data is not known to have been taken by Cambridge Analytica – to uncomfortable questions about the extent to which they profit from their users' most personal data, too.

(b) As later explained by Senator Charles Grassley, Google and Pichai "declined to come before Congress and the American people" for the April 2018 hearings, "asserting that the problems surrounding Facebook and Cambridge Analytica did not involve Google."

(c) On April 10, 2018, Senator Grassley sent a letter to Pichai outlining the Senate Judiciary Committee's "significant concerns regarding the data security practices of large social media platforms and their interactions with third party developers and other commercials users of such data," along with 14 questions to fully "understand how Google manages and monitors user privacy for the significant amounts of data which it collects."

(d) An April 13, 2018 article in *The New York Times* titled "Facebook Takes the Punches While Rest of Silicon Valley Ducks" detailed the heightened concern at Google of increased regulatory scrutiny following the Facebook/Cambridge Analytica hearings:

> Mr. Zuckerberg was prepared to say that his company accounts for just a slice of the $650 billion advertising market and that it has plenty of competitors. Google, for example, has an online advertising business more than twice the size of Facebook's. And Google also collects vast amounts of information about the people who use its online services.
>
> * * *
>
> "Outside of Facebook, there is probably no company paying more attention" than Google, said Jason Kint, a frequent critic of Google and Facebook and chief executive of Digital Content Next, a trade group that represents entertainment and news organizations, including The New York Times. "They're absolutely ducking for cover while the heat is on Facebook. They don't want to try to trip any alarms."
>
> * * *

> Over two days of hearings, Google was referenced 11 times by lawmakers. Twitter was mentioned 10 times and Amazon once. Apple was mentioned three times, mostly in passing.
>
> Google employees said they had not received explicit orders from management to keep a low profile because most already understood the risk. One employee, who spoke on the condition of anonymity because workers were not allowed to speak publicly on the issue, said there was an understanding inside Google that the company was the obvious next target.
>
> In a statement, Aaron Stein, a Google spokesman, said the company was "completely focused on protecting our users' data" and "will take action" if it found evidence of "deceptive behavior or misuse of personal data."

34. In addition to the heightened regulatory scrutiny on data collection and privacy issues in the United States, the spring of 2018 also saw the public's attention focused on the implementation of the GDPR, which went into effect in May 2018. The GDPR is a new European Union framework that reformed data privacy protections in all member-states and has implications for businesses and individuals across Europe and beyond. Under the terms of the GDPR, disclosure of data breaches is obligatory: "In the case of a personal data breach, the controller shall ***without undue delay*** and, where feasible, ***not later than 72 hours*** after having become aware of it, ***notify*** the personal data breach to the supervisory authority . . . ." Failure to follow the GDPR's guidelines can result in fines "[u]p to €10 million, or 2% of the worldwide annual revenue of the prior financial year, whichever is higher."

35. The public focus on the GDPR was not lost on Google. Starting in May of 2017, Google began issuing several blogs on its official website, The Keyword, detailing the steps it was taking to fully comply with the GDPR. In an August 8, 2017 blog post, William Malcolm ("Malcolm"), the Director of Privacy Legal EMEA, stressed that Google "is committed to complying with the GDPR across all of [its] services" and that its "aim is always to keep data private and safe." Less than a year later, Malcom again reaffirmed Google's dedication to data privacy protections emphasizing that it had been working on GDPR compliance efforts for over 18 months, that "Google has built a strong global privacy compliance program," and that its "ambition is to have the highest possible standards [for] data security and privacy."

36. Google was even more focused on data security issues because, in addition to the many universal issues, Google was operating under a Consent Order with the Federal Trade

Commission ("FTC"). The order resulted from a complaint filed in 2011 against Google's social network Google Buzz, the predecessor to Google+. The FTC concluded that Google violated its privacy promises and misrepresented to users of its email services how their information could be used, in some instances private information was shared publicly by default. In the end, the Consent Order, the first decision of its kind, required Google to do the following (among other obligations):

(a) establish and implement a comprehensive privacy program;

(b) maintain privacy controls that are appropriate to its size and complexity, the nature and scope of its activities, and the sensitivity of covered information;

(c) maintain privacy controls that meet or exceed the protections required by the Consent Order; and

(d) demonstrate that its privacy controls are operating with sufficient effectiveness to provide reasonable assurance to protect the privacy of covered information and have so operated throughout each two-year reporting period through year 2031.

As Public Pressure Mounted, Defendants Learned of Major Data-Security Problems

37. In March 2018, Google learned that it had realized the risks it had been warning about for years. Its data privacy protections were not as trustworthy as it had previously believed. Specifically, it learned of a software glitch in its Google+ social networking site that gave hundreds of third-party developers potential access to the private user profile data for Google+ users (the "Three-Year Bug"). This private information included birth dates, photos, occupations, relationship status, email addresses, and home addresses. Worse, Google's security controls were so inadequate that it failed to detect this Three-Year Bug for approximately 150 weeks, yet it could only identify two weeks' worth of users whose private profile information had been exposed. Without sufficient record keeping, Google could only estimate that it exposed to third-parties the personal private data of hundreds of thousands of users, but this estimate was based on projections from less than 2% of the Three-Year Bug's lifespan, and Google had no way of determining how many third-parties had misused its users' personal private data. Google did not call or otherwise contact a single third-party developer to investigate the fallout from the bug.

38. A group of over 100 of Google's best and brightest engineers, product managers, and lawyers were responsible for uncovering the Three-Year Bug and fixing it, but they could not

confirm the damage from it or determine the number of other bugs. In or about early April 2018, Google's legal and policy staff prepared a memo concerning this security breach, including the many shortcomings in Google's security system and record keeping, which revealed previously unknown, or unappreciated, security vulnerabilities that made additional data exposures virtually inevitable (the Three-Year Bug and these additional vulnerabilities are collectively referred to as the "Privacy Bug" and the memo discussing them, the "Privacy Bug Memo"). The Privacy Bug Memo warned that disclosure of the Privacy Bug would likely trigger "'immediate regulatory interest'" and result in defendants "'coming into the spotlight alongside or even instead of Facebook despite having stayed under the radar throughout the Cambridge Analytica scandal.'" The Privacy Bug Memo also warned that disclosure "'almost guarantees Sundar [Pichai] will testify before Congress.'"

39. Defendant Pichai and other senior Google executives received and read the Privacy Bug Memo in or about early April 2018.

Not Doing the Right Thing –
Defendants Hid the Truth

40. Despite being fully briefed on the Privacy Bug, Pichai approved a plan to hide the Privacy Bug from all users and everyone else outside of the Companies. One of the reasons Pichai approved this concealment plan was because he wanted to avoid any additional regulatory scrutiny, including having to testify before Congress.

41. This was such a significant breach and Google's faith in its security was so shaken, the Privacy Bug led Pichai and Page to approve a plan to shutdown Google's Google+ social networking site and service. Put simply, Google no longer trusted itself. At that time (spring 2018), Google+ had 395 million monthly active users. Putting this decision into context, at that same time, Twitter and Snapchat had 330 and 301 million monthly active users, respectively, and corresponding market capitalizations of over $20 billion each.

42. Worse, defendants chose to continue making statements concerning data security, related risks, and their trustworthiness, but these coordinated statements maintained the same assurances and warnings as before the Privacy Bug's discovery, while concealing the Privacy Bug itself. In other words, they decided to do the wrong thing by warning investors of risks that had

already been realized, and concealing the new risks they had discovered and created by concealing these risks.

43. On April 23, 2018, consistent with his understanding with Pichai, Page signed Alphabet's SEC Quarterly Report on Form 10-Q for the period ending March 31, 2018 (the "1Q 2018 10-Q"), which merely incorporated the identical risk disclosures from its 2017 10-K, without any mention of the Privacy Bug that defendants discovered after Alphabet had filed the 2017 10-K:

> Our operations and financial results are subject to various risks and uncertainties, including those described in Part I, Item 1A, "Risk Factors" in our Annual Report on Form 10-K for the year ended December 31, 2017, which could adversely affect our business, financial condition, results of operations, cash flows, and the trading price of our common and capital stock. There have been no material changes to our risk factors since our Annual Report on Form 10-K for the year ended December 31, 2017.

44. On April 23, 2018, Alphabet held an earnings call to discuss its 1Q 2018 results. The call began with Ellen West ("West"), Alphabet's Head of Investor Relations, referring investors to the 2017 10-K risk disclosures:

> Thank you. Good afternoon, everyone, and welcome to Alphabet's First Quarter 2018 earnings conference call. With us today are Ruth Porat and Sundar Pichai. Now I'll quickly cover the safe harbor.
>
> Some of the statements that we make today may be considered forward looking, including statements regarding our future investments, our long-term growth and innovation, the expected performance of our businesses and our expected level of capital expenditures. These statements involve a number of risks and uncertainties that could cause actual results to differ materially. For more information, please refer to the risk factors discussed in our Form 10-K for 2017 filed with the SEC.

45. Without mentioning a word about the Privacy Bug, Pichai assured the public and investors that Google was prepared for the forthcoming GDPR, stressing that the company had "started working on GDPR compliance over 18 months ago and have been very, very engaged on it." Beyond mere GDPR compliance, Pichai emphasized that Google has a "very robust and strong privacy program."

46. On April 25, 2018, Google's Vice President of Public Policy and Government Affairs, Susan Molinari ("Molinari"), responded to Senator Grassley's April 10, 2018 letter on behalf of Pichai. Making no mention of the recently-discovered Privacy Bug, Molinari stated that "Google has a longstanding commitment to ensuring both that our users share their data only with

developers they can trust, and that they understand how developers will use that data," and that the company was "committed to protecting our users' data and prohibit developers from requesting access to information they do not need."

47. On April 27, 2018, Alphabet filed a Proxy Statement with the SEC pursuant to §14(a) of the Exchange Act. The voting matters for the June 6, 2018 Annual Meeting included management's proposed election of 11 directors, including Page and Pichai. Among the stockholder proposals was a proposal regarding a report on content governance, which requested that Alphabet "issue a report to shareholders at reasonable cost, omitting proprietary or legally privileged information, reviewing the efficacy of its enforcement of Google's terms of service related to content policies and assessing the risks posed by content management controversies, including election interference, to the company's finances, operations, and reputation." Alphabet opposed that stating in relevant part that: "***We believe that we have a responsibility to combat the misuse of our platforms and enforce our content policies. And we understand our continuing responsibility to update our users and stockholders on those efforts. We will continue to remain vigilant in this regard and plan to make regular public disclosures about our efforts, our results, and our future plans.***" Alphabet also opposed a proposal requesting that it detail its policies and procedures concerning its lobbying efforts. Alphabet's statement in opposition stated, in relevant part: "***We are committed to transparency in all areas of our business***, including our public policy activities and lobbying expenditures. ***Google has long been a champion of disclosure and transparency.***"

48. On June 6, 2018, during Alphabet's Annual Shareholders Meeting, defendant Walker, reassured shareholders that it had "long been one of the leading companies when it comes to privacy and security of user data" and that "we are in great pains to make sure that people have great control and notice over their data." Walker made this statement while he and all others at the Companies continued to conceal the Privacy Bug throughout June 2018.

49. On July 23, 2018, consistent with his agreement with Pichai, Page signed Alphabet's SEC Quarterly Report on Form 10-Q for the period ending June 30, 2018 (the "2Q 2018 10-Q"), which merely incorporated the identical risk disclosures from its 2017 10-K, without any mention of the Privacy Bug that defendants discovered after Alphabet had filed the 2017 10-K:

> Our operations and financial results are subject to various risks and uncertainties, including those described in Part I, Item 1A, "Risk Factors" in our Annual Report on Form 10-K for the year ended December 31, 2017, which could adversely affect our business, financial condition, results of operations, cash flows, and the trading price of our common and capital stock. There have been no material changes to our risk factors since our Annual Report on Form 10-K for the year ended December 31, 2017.

50. That same day, at the outset of Alphabet's 2Q 2018 earnings call, West again referred investors to the 2017 10-K risk factors with a statement substantively identical to ¶44, and Pichai again highlighted that Google was "always . . . focused on user privacy" and security. West and Pichai made these statements while Pichai and all others at the Companies continued to conceal the Privacy Bug throughout July 2018.

51. The custom and practice of a newspaper of the size and sophistication of the *WSJ* would have meant that, by September, the *WSJ* would have directly or indirectly informed the Companies that it was investigating the Privacy Bug and their concealment of it. Realizing that the *WSJ* could soon expose the Privacy Bug and their concealment of it, Page and Pichai decided that neither they nor any other representative from the Companies would accept an invitation to testify before a Senate Intelligence Committee in September 2018. Representatives from the other two invitees, Facebook and Twitter, appeared and testified – beside an empty chair for Google.

52. On September 26, 2018, defendant Enright, Google's Chief Privacy Officer, provided written testimony to the Senate Committee on Commerce, Science, and Transportation, which included the following statements:

- "The foundation of our business is the trust of people that use our services."
- "With advertising, as with all our products, users trust us to keep their personal information confidential and under their control."
- "[A] healthy data ecosystem requires people feel comfortable that all entities who use personal information will be held accountable for protecting it."

53. Enright echoed these statements in an official Google blog published just two days earlier. In the blog, Enright highlighted that "users have long entrusted us to be responsible with their data and we take that trust and responsibility very seriously." In addition, Enright reaffirmed that "[p]eople deserve to feel comfortable that all entities that use personal information will be held

accountable for protecting it" and that their business model relies on personal data and their "work to comply with evolving data protection laws around the world."

54. Enright made these statements while he and the other defendants continued to conceal the Privacy Bug throughout September 2018.

55. The statements referenced in ¶¶43-53 above omitted to state material facts necessary in order to make them not misleading. Specifically, these statements omitted that in March 2018, Google learned that it had realized the risks it had been warning about for years; its data privacy protections were not as trustworthy as it had previously represented and believed; a bug in its Google+ social networking site had given hundreds of third-party developers potential access to the private user profile data for millions of Google+ users (this private information included birth dates, photos, occupations, relationship status, email addresses, and home addresses); its security controls were so inadequate that it failed to detect this bug for approximately 150 weeks, yet it could only identify two weeks' worth of users whose private profile information had been exposed; due to insufficient record keeping, Google could only estimate that it exposed to third-parties the personal private data of hundreds of thousands of users, and it had no way of determining how many third-parties had misused its users' personal private data; that it had identified systemic security deficiencies in its Google+ service that rendered additional bugs and data exposures virtually inevitable; and that key officers and directors, including Alphabet's CEO, Google's CEO, Google's General Counsel, and Google's Chief Privacy Officer, had decided to conceal all of this information from everyone outside the Companies. In short, these statements omitted facts that revealed that neither the Companies' technology nor its management was as trustworthy as they had led the public, including investors, to believe. Defendants also concealed the inevitability of all the foregoing risks materializing.

56. The SEC requires that a registrant's Form 10-Q set forth any material changes from risk factors as previously disclosed in the registrant's last Form 10-K. The 1Q 2018 10-Q and 2Q 2018 10-Q incorporated by reference the 2017 10-K risk disclosures and did not disclose any new risks. Accordingly, the 1Q 2018 10-Q and 2Q 2018 10-Q were materially misleading because they failed to disclose another category of risk: the risk that the concealment itself would be exposed,

which would trigger a host of immediate negative consequences, including reputational harm, diminished trust, intense regulatory scrutiny, higher expenses (including increased legal, PR, lobbying, and investigative expenses), just to name a few. Indeed, defendants knew that they could not keep the Privacy Bug concealed forever – too many people were aware of it, it was incendiary, and it was the final straw for shutting down Google+ – so they knew that it and their concealment of it would eventually be exposed, but they made the decision to buy time. Defendants calculated that the detrimental effects would be even worse if, at the time Facebook was getting pummeled in Congress, in the public, and in the financial markets, Google announced that it simply had no confidence in its data protections for hundreds of millions of users.

57. On October 8, 2018, the *WSJ* revealed the Three-Year Bug and the Companies' concealment of it.

58. In a blog posted contemporaneously to the publication of the *WSJ* article, Google admitted to the exposure of hundreds of thousands of users' private data and that it was shutting down its Google+ social networking site and service for consumers because Google had failed to develop a product consumers wanted to use, including one with adequate controls over Google+ users' private data, which the blog described as "significant challenges" that the authors of the Privacy Bug Memo had "highlight[ed]." Google's statements on the Three-Year Bug did not dispute Pichai's reported receipt of the Privacy Bug Memo in or around early April 2018 or his involvement in the decision to conceal the Privacy Bug from users, regulators, and everyone else outside of the Companies. In the months following the *WSJ* article's publication, and in multiple statements relating to the Privacy Bug, none of defendants disputed a single fact from the article.

59. On October 10, 2018, three Democratic Senators wrote to the FTC Chairman, demanding an investigation into the Three-Year Bug, including Google's concealment of it. The letter highlighted the deceptiveness of Google's response to the *WSJ*'s article, including the following:

> Google has claimed that it "found no evidence that any developer was aware of this bug, or abusing the API . . . ." These denials clash with the fact that Google has insufficient records to determine whether a breach occurred. According to its statement, the company only kept logs for two weeks. Google can only account for whether the vulnerability had been exploited in the weeks preceding its discovery.

> As such, we may never know the full extent of the damage caused by the failure to provide adequate controls and protection to users.

60. Google "'found no evidence'" because it barely looked – reviewing data from less than 2% of the Three-Year Bug's lifespan, and there is "no evidence" that Google so much as called or contacted a single third-party developer. The Democratic Senators went on to explain how the revelation of Google's concealment of the Three-Year Bug revealed a corporate culture that bore no resemblance to one that "do[esn't] be evil" and "do[es] the right thing": "The awareness and approval by Google management to not disclose represents a culture of concealment and opacity set from the top of the company."

61. Google's scheme did manage to unite the country's two political parties. On October 11, 2018, three Republican Senators wrote a letter to Pichai that read, in part, "[a]t the same time that Facebook was learning the important lesson that tech firms must be forthright with the public about privacy issues, Google apparently elected to withhold information about a relevant vulnerability for fear of public scrutiny." The Republican Senators also confirmed the misleading nature of Enright's September 26, 2018 statements (*see* above): "We are especially disappointed given that Google's chief privacy officer testified before the Senate Commerce Committee on the issue of privacy on September 26, 2018 – just two weeks ago – and did not take the opportunity to provide information regarding this very relevant issue to the Committee."

62. On October 11, 2018, Senator Grassley wrote to Pichai regarding the "troubling reports" detailed in the *WSJ* article, and condemned Google's evasive responses to congressional inquiry earlier that year:

> Given your and Google's unwillingness to participate [in the April 10, 2018 Facebook/Cambridge Analytica hearing], I sent you a letter seeking information on Google's current data privacy policies, specifically as they relate to Google's third party developer APIs. Your responses to my questions highlighted Google's application verification process, the continuous monitoring of applications through machine learning, and the use of manual audits, all to ensure robust protection of user data.
>
> Despite your contention that Google did not have the same data protection failures as Facebook, it appears from recent reports that Google+ had an almost identical feature to Facebook, which allowed third party developers to access information from users as well as private information of those users' connections. Moreover, it appears that you were aware of this issue at the time I invited you to participate in the hearing and sent you the letter regarding Google's policies.

63. The *WSJ* article, Google's blog post, and the letters described in the preceding paragraphs contained enough information for investors to piece together that the Three-Year Bug was a symptom of the disease comprising the Privacy Bug.

64. As defendants had anticipated, just weeks after the *WSJ* revelations, defendants disclosed another Google+ bug had exposed user data from 52.5 million accounts. Defendants admitted that "users were impacted." Unlike the Three-Year Bug, which defendants deliberately concealed from users and the investing public, defendants disclosed this new bug in a December 10, 2018 blog post and began notifying the impacted users. Defendants also announced they were accelerating the shuttering of the consumer Google+ platform to April 2019 rather than August 2019, a further confirmation of Google's inability to protect users' personal and private information. Defendants' disclosure came just hours before Pichai was set to testify before the House Judiciary Committee.

65. Throughout the years, as discussed above, defendants repeatedly acknowledged that the Companies' success is largely dependent on maintaining consumers' trust such that users will continue to entrust Google with their private data, which Google can then monetize. As one media outlet put it: "Google has a strong incentive to position itself as a trustworthy guardian of personal information because, like Facebook, its financial success hinges on its success to learn about the interests, habits and location of its users in order to sell targeted ads." Fully aware of consumers' expectations that their private information will remain private, defendants repeatedly promised they would not only keep the information private but that they would notify users if their information was impacted.

66. The revelation that millions of users' data had been potentially exposed and that rather than notify users of the exposure, defendants chose to cover it up was a massive breach of consumers' trust, as well as a realization that Google had failed to develop adequate systems and controls to maintain the integrity of its users' private data. As one commentator put it: "Google's business model is based on trust, and hiding a potentially dangerous breach for six months is not the way to keep it." Another observed that through its "'digital coverup . . . Google has demonstrated that it cannot be relied on to protect privacy.'" Thus, the disclosure of the Privacy Bug and its

impact on users damaged Google's reputation and, thus, value. Indeed, the *WSJ*'s investigation, based on internal documents, revealed that in choosing to cover up the Privacy Bug, defendants sought to avoid regulatory scrutiny and reputational damage. Defendants were right to be concerned. Upon disclosure of the Privacy Bug and subsequent cover up, industry commentators noted increased regulatory scrutiny and that regulatory investigations were sure to come.

67. A *CNBC* article titled "Google learned the hard way it's better to be transparent about privacy bugs than cover them up" noted "[c]onsumers and regulators have shown they will judge companies far more harshly for covering up data security issues than for openly discussing them." That same article drew similarities between Google's cover-up of the Three-Year Bug and Uber's revelation of a data breach it had tried to cover up, noting the incident "was relatively minor except for the cover-up." As of October 2018, Uber has paid nearly $150 million in settlements related to the revelation and is subject to increased monitoring by the FTC for 20 years.

68. As predicted by *CNBC*, the very regulatory, legal, and reputational risks that the Companies warned about while defendants covered up the Privacy Bug materialized. For one thing, German regulators in Hamburg, where Google has its German office, have initiated an investigation into Google's handling of the Privacy Bug. In addition, regulators in Ireland indicated they "'will be seeking information on these issues from Google,'" referring to the Privacy Bug and Google's response to it. U.S. Senator Richard Blumenthal called for a full FTC investigation into the Privacy Bug. Several private lawsuits on behalf of consumers and shareholders have been filed against Google as a result of the Privacy Bug.

69. On November 2, 2018, Google announced that Molinari, the head of Google's Americas policy who drafted Pichai's response to Senator Grassley's April 10, 2018 letter, was stepping down from her role.

70. With the Companies' scheme exposed, Pichai testified before Congress on December 11, 2018. The ranking member's opening remarks specifically highlighted the Privacy Bug, including Google's concealment of it. As featured below, in neither his prepared opening remarks nor during any portion of his testimony did Pichai deny his awareness of the Privacy Bug for months

before disclosure, nor his involvement in the decision to conceal the Privacy Bug until the *WSJ* exposed it:

(a) "We take privacy seriously. The bugs you mentioned are bugs we found them by either doing an audit . . . .";

(b) "Building software inevitably has bugs associated as part of the process. We actually undertake a lot of efforts to find bugs, so we find it, [root it] out, and fix it, and that is how we constantly make our systems better."

(c) "The biggest area we see for our users is around security, that their account gets hacked or something. That is why we work hard."

71. Pichai battled questions about the data breach from the House Committee while also repeatedly emphasizing the Companies' aged mantra of trustworthiness through data protection:

(a) "Protecting the privacy and security of our users has long been an essential part of our mission."

(b) "We have invested an enormous amount of work over the years to bring choice, transparency, and control to our users. These values are built into every product we make."

(c) "Today, for any service we provide our users, we go to great lengths to protect their privacy and we give them transparency, choice, and control."

(d) "I am of the opinion we are better off with more of an overarching data production framework."

72. On February 5, 2019, Alphabet filed with the SEC its Form 10-K Annual Report for 2018, its first annual report since the revelation of the Privacy Bug, including the Companies' concealment of it. Unlike the 2017 "Risk Factors" that Alphabet had incorporated into its 1Q 2018 10-Q and its 2Q 2018 10-Q, the 2018 "Risk Factors" finally acknowledged that "***[b]ugs or defects in our products and services have occurred and may occur in the future***." (Emphasis in original.)

ADDITIONAL SCIENTER ALLEGATIONS

73. The facts detailed in ¶¶38-40, establish that Pichai and senior Google executives had actual knowledge of the Privacy Bug by early April 2018. Specifically, in or about early April 2018, senior Google executives, including Pichai, were personally notified that a bug in its Google+ social

networking site gave hundreds of third-party developers potential access to the private user profile data for Google+ users (this private information included birth dates, photos, occupations, relationship status, email addresses, and home addresses) who never intended to publicly share this private data. Pichai and senior Google executives received this information in the Privacy Bug Memo, which was prepared by Google's legal and policy staff. Given that Google failed to detect the bug for approximately 150 weeks but only kept two-weeks' worth of activity logs necessary to determine which users were affected and what types of data may potentially have been improperly collected, the Privacy Bug Memo stated that Google had no way of determining how many third-parties had misused the personal private data of a likewise unknown number of users. Likewise, the Privacy Bug Memo revealed systemic security deficiencies in Google's Google+ service that rendered additional bugs and data exposures virtually inevitable. Google admitted in its October 8, 2018 blog post that it discovered and remediated the lone Three-Year Bug in March 2018, but that was just the tip of the iceberg.

74. The facts detailed above, when viewed collectively and holistically with the other allegations in this Complaint, establish a strong inference that each of the defendants knew or recklessly disregarded that each of the statements set forth in ¶¶43-53 would be, and were, misleading to investors at the time they were made. This inference is far stronger than the alternative: that the 100-person task force, which discovered the largest data-security vulnerability in the history of two Companies whose existence depends on data security, concealed it from the Companies' CEOs, as well as Google's Chief Privacy Officer and General Counsel – who both had primary responsibility for data-security issues at Google.

75. Defendants' scienter can also be inferred from the ***cover-up*** of the Privacy Bug. Specifically, the Companies' employees would not uniformly conceal the Privacy Bug without a directive to do so from the Individual Defendants, who were the individuals most responsible for responding to data-security issues. The Individual Defendants would have to have been informed and exercised their decision-making authority to conceal the Privacy Bug while persisting with the same pre-discovery assurances and risk warnings when that decision was largely driven by the desire to avoid regulatory scrutiny, Pichai's Congressional testimony, and reputational damage. Indeed, the

Privacy Bug Memo expressly warned that disclosure of the Privacy Bug would likely trigger "'immediate regulatory interest'" and "'almost guarantees Sundar [Pichai] will testify before Congress.'" Accordingly, defendants covered up the Privacy Bug until the publication of the *WSJ* article.

76. Defendants' scienter can likewise be inferred from their immediate announcement of significant and extensive ***remedial measures*** on the day that the *WSJ* article was released, including the shuddering of Google+ – the world's fifth largest social media network. Also on October 8, 2018, Google announced a sweeping set of data privacy measures as part of its response to the events described in the *WSJ* article, including: (1) launching more granular Google Account permissions to give consumers "more fine-grained control over what account data they choose to share with each app"; (2) limiting the applications that may seek permission to access users' Gmail data; and (3) limiting the ability of applications to ask for permission to access information in users' telephones. In addition, Google pledged that "[i]n the coming months, we'll roll out additional controls and update policies across more of our APIs." These are the types of decisions that the Companies consider and study for months, not minutes, before making them.

77. Defendants' scienter may be further inferred from other facts alleged herein, including that:

(a) defendants had been repeatedly warned of and were aware of the significant, and potentially existential, risks to the Companies arising from the public discovering a data breach;

(b) defendants knew that providing truthful, accurate, and complete disclosures would threaten their business model, as it would expose them to regulatory scrutiny, reputational damage, and Pichai's testimony being sought by Congress;

(c) Google was subject to an FTC consent decree at the time the statements were made, providing defendants with heightened awareness of the risks of and their responsibilities with respect to violating user privacy rights;

(d) Pichai and Page's reluctance to testify before Congress at a time when Facebook was being pilloried for a data leak was a powerful incentive for defendants to approve Google's decision to cover up the Privacy Bug, as evidenced by their widely publicized refusal to accept the United States Senate Select Committee on Intelligence's invitation to testify about election interference in September 2018, and the Privacy Bug Memo's explicit warning that disclosure "'almost guarantees Sundar [Pichai] will testify before Congress'"; and

(e) the omissions at issue concerned one of the most significant issues and severe risks that Alphabet faced.

78. The below-listed defendants held high-level positions and had access to material, adverse, non-public information concerning specific and imminent privacy risks facing Google, including the Privacy Bug and the repercussions of disclosing it:

(a) Page founded Google, was the chief operating decision maker of Alphabet and was responsible for making, and did make, key operating decisions at Google. Pichai directly reported to, and was directly accountable to, and maintained regular contact with, Page.[2] Page received weekly reports of Google's operating results.

(b) Enright was Google's Chief Privacy Officer since September 2018. Prior to that, he was the "Legal Director of Privacy" at Google since 2016. In May of 2018, Enright was named Google's DPO for the purpose of the GDPR, which requires Google to "ensure that the data protection officer is involved, properly and ***in a timely manner, in all issues which relate to the protection of personal data***." Enright's DPO responsibilities began on May 24, 2018.

(c) Walker has been Google's General Counsel since 2006. In providing written testimony to the Senate in November 2017, Walker stated that he leads Google's "legal, policy, trust and safety, and corporate philanthropy teams." In August 2018, Walker became Google's Senior Vice President for Global Affairs.

79. Because of their positions, Enright and Walker: (1) comprise or oversee Google's Privacy and Data Protection Office, the "council of top product executives who oversee key decisions relating to privacy," which deliberated on whether to notify users of the Privacy Bug at or shortly after the time it was discovered; and (2) comprise or oversee the "legal and policy staff" that prepared the Privacy Bug Memo.

[2] As Google's CEO, Pichai was responsible for making, and did make, key operating decisions at Google. As set forth above, Pichai was a direct recipient of the Privacy Bug Memo.

80. In connection with Alphabet's 1Q 2018 10-Q and 2Q 2018 10-Q, Page signed certifications pursuant to Exchange Act Rules 13a-14(a) and 15(d)-14(a), as adopted pursuant to §302 of the Sarbanes-Oxley Act of 2002. In these certifications, Page declared that he and Porat were responsible for establishing and maintaining disclosure controls (as defined in Exchange Act Rule 13a-15(e)), and that they "[d]esigned such disclosure controls and procedures, or caused such disclosure controls and procedures to be designed under [their] supervision, to ensure that material information relating to the registrant, including its consolidated subsidiaries, is made known to [them] by others within those entities, particularly during the period in which this report is being prepared." Page further certified that he and Porat "[e]valuated the effectiveness of the registrant's disclosure controls and procedures and presented in this report [their] conclusions about the effectiveness of the disclosure controls and procedures, as of the end of the period covered by this report based on such evaluation." Pursuant to the SEC's February 21, 2018, "Statement and Guidance on Public Company Cybersecurity Disclosures," Release Nos. 33-10459, 34-82746, any such certifications made pursuant to Exchange Act Rules 13a-14(a) and 15(d)-14(a) "***should take into account the adequacy of controls and procedures for identifying cybersecurity risks and incidents and for assessing and analyzing their impact.***" Therefore, prior to vouching for the accuracy of the statements made in Alphabet's 1Q 2018 10-Q and 2Q 2018 10-Q, Page was obligated to familiarize himself with the adequacy and controls for identifying cybersecurity risks and incidents and for assessing their impact. Any such review would necessarily involve an analysis of the Privacy Bug, the Privacy Bug Memo, and the conscious decision to continue concealing it in the backdrop of Facebook receiving unprecedented criticism for the Cambridge Analytica data scandal.

LOSS CAUSATION/ ECONOMIC LOSS

81. As a result of defendants' scheme, Alphabet was overvalued throughout the Class Period. Put simply, the Companies' data security and management were less trustworthy than defendants had led the world to believe. Accordingly, Alphabet's securities were riskier and thus were worth less than they appeared to be worth.

82. The revelation of the facts and circumstances that defendants had misleadingly omitted exposed both defendants' scheme and the overvaluation from the scheme. One measure of that inflated value was Alphabet's stock price, which fell $11.91 on October 8, 2018, $10.75 on October 9, 2018, and $53.01 on October 10, 2018. These price drops were caused, in part, by the market processing the implications of defendants' scheme. The revelation of defendants' scheme revealed that investors had paid more for Alphabet securities than they would have paid but for the scheme.

ALPHABET SECURITIES TRADED IN AN EFFICIENT MARKET

83. The Class Period inflation in the price of Alphabet securities was eliminated when the financial conditions, business risks, and other information concealed by defendants' fraud was revealed to the market.

84. At all relevant times, the market for Alphabet securities was an efficient market for the following reasons, among others:

(a) Alphabet securities met the requirements for listing, and were listed and actively traded on the NASDAQ, a highly efficient and automated market;

(b) during the Class Period, a high weekly volume of Alphabet securities traded on the NASDAQ;

(c) as a regulated issuer, Alphabet filed periodic public reports with the SEC and NASDAQ;

(d) throughout the Class Period, over a dozen different firms and dozens of analysts covered Alphabet securities;

(e) throughout the Class Period, Alphabet was eligible to file an SEC Registration Form S-3;

(f) Alphabet regularly communicated with investors via established market communication mechanisms, including through regular disseminations of press releases on national circuits of major newswire services, the Internet, and other wide-ranging public disclosures; and

(g) unexpected material news about Alphabet was rapidly reflected in and incorporated into its stock price.

85. As a result of the foregoing, the market for Alphabet securities promptly digested current information regarding Alphabet from all publicly available sources and reflected such information in the prices of Alphabet securities. Under these circumstances, all purchasers of Alphabet securities during the Class Period suffered similar injury when the revelation of defendants' scheme removed the artificial inflation that had been part of the price they paid when they purchased Alphabet securities.

86. A class-wide presumption of reliance is appropriate in this action under the Supreme Court's holding in *Affiliated Ute Citizens of Utah v. United States*, 406 U.S. 128 (1972), because the Class's claims are grounded on defendants' material omissions. Because defendants omitted to state material facts necessary in order to make the statements made, in light of the circumstances under which they were made, not misleading, positive proof of reliance is not required. All that is necessary is that the facts omitted be material in the sense that a reasonable investor might have considered them important in making investment decisions. Given the importance of the Class Period omissions set forth above, that requirement is satisfied here.

CLASS ACTION ALLEGATIONS

87. Plaintiff brings this action as a class action pursuant to Federal Rule of Civil Procedure 23(a) and (b)(3) on behalf of a class consisting of all those who purchased or otherwise acquired Alphabet securities between April 23, 2018 and October 7, 2018, inclusive, and who were damaged thereby (the "Class"). Excluded from the Class are defendants, the officers and directors of the Companies, members of their immediate families and legal representatives, heirs, successors, or assigns, and any entity in which defendants have or had a controlling interest.

88. The members of the Class are so numerous that joinder of all members is impracticable. Throughout the Class Period, Alphabet securities were extensively traded on the NASDAQ. As of January 31, 2019, Alphabet had 299,360,029 shares of Class A common stock outstanding, 46,535,019 shares of Class B common stock outstanding, and 349,291,348 shares of Class C capital stock outstanding. The exact number of class members can be determined only by appropriate discovery, but Plaintiff believes that there are likely thousands of class members that are geographically dispersed, if not more. Record owners and other members of the Class may be

identified from books and records maintained by Alphabet or its transfer agent. Notice can be provided to such record owners by a combination of published notice and first-class mail, using techniques and a form of notice similar to those customarily used in class actions arising under the federal securities laws.

89. Plaintiff will fairly and adequately represent and protect the interests of the members of the Class. Plaintiff has retained competent counsel experienced in class action litigation under the federal securities laws to further ensure such protection and intends to prosecute this action vigorously.

90. Plaintiff's claims are typical of the claims of the other members of the Class because Plaintiff's and all the class members' damages arise from and were caused by the misleading omissions made by or chargeable to defendants. Plaintiff does not have any interests antagonistic to, or in conflict with, the Class.

91. A class action is superior to other available methods for the fair and efficient adjudication of this controversy. Since the damages suffered by individual class members may be relatively small, the expense and burden of individual litigation make it virtually impossible for the class members to seek redress for the wrongful conduct alleged. Plaintiff knows of no difficulty that will be encountered in the management of this litigation that would preclude its maintenance as a class action.

92. Common questions of law and fact exist as to all members of the Class and predominate over any questions solely affecting individual members of the Class. Among the questions of law and fact common to the Class are:

(a) whether the federal securities laws were violated by defendants' acts as alleged herein;

(b) whether defendants' publicly disseminated statements to the investing public during the Class Period omitted material facts;

(c) whether defendants failed to convey material facts;

(d) whether defendants acted knowingly or with severe recklessness in omitting material facts;

(e) whether the price of Alphabet securities was artificially inflated during the Class Period; and

(f) whether members of the Class have sustained damages, and, if so, the appropriate measure of damages.

CLAIMS FOR RELIEF

COUNT I
For Violation of §10(b) of the Exchange Act and Rule 10b-5
(Against All Defendants)

93. Plaintiff incorporates ¶¶1-92 by reference.

94. During the Class Period, defendants disseminated or approved the statements as specified above in ¶¶43-53, which they knew or recklessly disregarded, and omitted material facts necessary in order to make the statements made, in light of the circumstances under which they were made, not misleading.

95. Defendants violated §10(b) of the Exchange Act and SEC Rule 10b-5 in that they:

(a) employed devices, schemes, and artifices to defraud;

(b) omitted to state material facts necessary in order to make the statements made, in light of the circumstances under which they were made, not misleading; or

(c) engaged in acts, practices, and a course of business that operated as a fraud or deceit upon Plaintiff and others similarly situated in connection with their purchase of Alphabet securities during the Class Period.

96. Defendants, individually and together, directly and indirectly, by the use of the means and instrumentalities of interstate commerce and/or the mails, engaged and participated in a continuous course of conduct to conceal the truth and/or adverse material information about Alphabet's business and operations as specified herein.

97. Defendants had actual knowledge of the omitted material facts set forth herein, or recklessly disregarded the omitted material facts that were available to them.

98. As a result of the dissemination of the misleading information and failure to disclose material facts, as set forth above, the market price of Alphabet securities was artificially inflated during the Class Period. In ignorance of the fact that the market price of Alphabet securities was

artificially inflated, Plaintiff and other members of the Class purchased or otherwise acquired Alphabet securities during the Class Period at artificially high prices and were damaged thereby.

99. Plaintiff and the Class paid artificially inflated prices for Alphabet securities, and suffered losses when the relevant facts were revealed. Plaintiff and the Class would not have purchased or otherwise acquired Alphabet securities at the prices they paid, or at all, if they had been aware that the market prices had been artificially and falsely inflated by these defendants' misleading statements.

100. As a direct and proximate result of these defendants' wrongful conduct, Plaintiff and other members of the Class suffered damages in connection with their Class Period transactions in Alphabet securities.

101. By reason of the foregoing, defendants named in this Count have violated §10(b) of the Exchange Act and SEC Rule 10b-5.

COUNT II
For Violation of §20(a) of the Exchange Act
(Against Defendants Alphabet, Google, Pichai, and Page)

102. Plaintiff incorporates ¶¶1-101 by reference.

103. Defendants Pichai and Page were controlling persons of Alphabet and Google within the meaning of §20(a) of the Exchange Act. By virtue of their high-level positions as officers and/or directors of the Companies, their ownership and contractual rights, participation in and awareness of the Companies' operations, and intimate knowledge of the statements filed by Alphabet with the SEC and/or disseminated to the investing public, these defendants had the power to influence and control and did influence and control, directly or indirectly, the decision-making of the Companies, including the content and dissemination of the allegedly false and misleading statements.

104. In particular, each of these defendants had direct or supervisory responsibility over the day-to-day operations of the Companies and, therefore, are presumed to have had the power to control or influence the particular transactions and business practices giving rise to the securities violations as alleged in Count I, and exercised that power.

105. Alphabet controlled Google and the Individual Defendants, and is a controlling person of those defendants within the meaning of §20(a) of the Exchange Act.

106. Google controlled all of its employees, including Pichai, Enright, and Walker, and is a controlling person of those defendants within the meaning of §20(a) of the Exchange Act.

107. As a direct and proximate result of these defendants' wrongful conduct, Plaintiff and other members of the Class suffered damages in connection with their purchases and acquisitions of Alphabet securities during the Class Period when the relevant truth was revealed.

108. By reason of the foregoing, the defendants named in this Count violated §20(a) of the Exchange Act.

PRAYER FOR RELIEF

WHEREFORE, Plaintiff prays for the judgment as follows:

A. Determining that this action is a proper class action, certifying Plaintiff as Class Representative under Rule 23 of the Federal Rules of Civil Procedure and designating Lead Counsel as Class Counsel;

B. Awarding compensatory damages in favor of Plaintiff and other members of the Class against all defendants, jointly and severally, for all damages sustained as a result of defendants' wrongdoing, in an amount to be proven at trial, including interest thereon;

C. Awarding Plaintiff's reasonable costs and expenses, including attorneys' fees and expert fees; and

D. Awarding such other relief as the Court may deem just and proper.

JURY DEMAND

Plaintiff demands a trial by jury.

DATED: April 26, 2019

ROBBINS GELLER RUDMAN
& DOWD LLP
JASON A. FORGE
MICHAEL ALBERT
J. MARCO JANOSKI GRAY
TING H. LIU

s/ JASON A. FORGE
JASON A. FORGE

655 West Broadway, Suite 1900
San Diego, CA 92101
Telephone: 619/231-1058
619/231-7423 (fax)

Lead Counsel for Plaintiff

CERTIFICATE OF SERVICE

I hereby certify under penalty of perjury that on April 26, 2019, I authorized the electronic filing of the foregoing with the Clerk of the Court using the CM/ECF system which will send notification of such filing to the e-mail addresses on the attached Electronic Mail Notice List, and I hereby certify that I caused the mailing of the foregoing via the United States Postal Service to the non-CM/ECF participants indicated on the attached Manual Notice List.

s/ JASON A. FORGE

JASON A. FORGE

ROBBINS GELLER RUDMAN
& DOWD LLP
655 West Broadway, Suite 1900
San Diego, CA 92101-8498
Telephone: 619/231-1058
619/231-7423 (fax)

E-mail: jforge@rgrdlaw.com

Mailing Information for a Case 4:18-cv-06245-JSW In re ALPHABET, INC. SECURITIES LITIGATION

Electronic Mail Notice List

The following are those who are currently on the list to receive e-mail notices for this case.

- **Michael Albert**
  malbert@rgrdlaw.com,7223240420@filings.docketbird.com
- **Adam Marc Apton**
  aapton@zlk.com
- **Austin P. Brane**
  abrane@rgrdlaw.com
- **Benjamin Matthew Crosson**
  bcrosson@wsgr.com,bgavin@wsgr.com,fgarcia@wsgr.com
- **Boris Feldman**
  boris.feldman@wsgr.com,ncarvalho@wsgr.com
- **Jason A. Forge**
  jforge@rgrdlaw.com,kmccormack@rgrdlaw.com,e_file_sd@rgrdlaw.com
- **J Alexander Hood , II**
  ahood@pomlaw.com,abarbosa@pomlaw.com
- **Joseph Marco Janoski Gray**
  mjanoski@rgrdlaw.com,tdevries@rgrdlaw.com
- **Phillip Kim**
  pkim@rosenlegal.com
- **Jeremy A Lieberman**
  jalieberman@pomlaw.com,disaacson@pomlaw.com,abarbosa@pomlaw.com,lpvega@pomlaw.com
- **Danielle Suzanne Myers**
  dmyers@rgrdlaw.com,3045517420@filings.docketbird.com,e_file_sd@rgrdlaw.com
- **Jennifer Pafiti**
  jpafiti@pomlaw.com,disaacson@pomlaw.com,cgarcia@pomlaw.com,abarbosa@pomlaw.com
- **Samuel James Reed Dippo**
  sreeddippo@wsgr.com,srhodes@wsgr.com
- **Laurence Matthew Rosen**
  lrosen@rosenlegal.com,larry.rosen@earthlink.net
- **Stephen Bruce Strain**
  sstrain@wsgr.com,pmarquez@wsgr.com
- **Shawn A. Williams**
  shawnw@rgrdlaw.com,e_file_sd@rgrdlaw.com,1101510420@filings.docketbird.com

Manual Notice List

The following is the list of attorneys who are **not** on the list to receive e-mail notices for this case (who therefore require manual noticing). You may wish to use your mouse to select and copy this list into your word processing program in order to create notices or labels for these recipients.

- (No manual recipients)

From: Schneider, Erin
To: Jones, Nekia; Levenson, Paul; Bustillo, Eric I.; Gregus, Daniel; Best, Richard R; Gottschall, Kurt L.; Peavler, David L.; Layne, Michele W.
Subject: Cost for (b)(6) plaque
Date: Friday, February 18, 2022 4:55:01 PM

Hi – many thanks to (b)(6) for reminding me to send out information about (b)(6) plaque. The total was $225 – divided by 9 of us comes to $25. You can send money to me ((b)(6) (b)(6) in the following ways. But Rich – if I owe you money, please just don't pay me.

@(b)(6)

(b)(6) you need the phone number – it's (b)(6)

(b)(6) (by check)

Thanks – have a great long weekend everyone!

Erin

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From:	Schneider, Erin
To:	Beasley, Craig; Gray, Wanda E.; Barney, Barbara
Subject:	Debrief re SFRO EXAM
Start:	Thursday, March 24, 2022 12:00:00 PM
End:	Thursday, March 24, 2022 12:30:00 PM
Location:	WebEx, Below

Nekia – you look blocked but I think you said you were free at this time. Let me know if I need to change it.

-- Do not delete or change any of the following text. --

When it's time, join your Webex meeting here.

Join meeting (b)(6)

More ways to join:

Join from the meeting link

(b)(6)

Join by meeting number

Meeting number (access code): (b)(6)

Meeting password: (b)(6) (from phones and video systems)

Tap to join from a mobile device (attendees only)
(b)(6) USA Toll 2
US Toll
Some mobile devices may ask attendees to enter a numeric meeting password.

Join by phone
(b)(6) USA Toll 2
US Toll
Global call-in numbers (b)(6)

Join from a video system or application
Dial (b)(6)

Join using Microsoft Lync or Microsoft Skype for Business

Dial (b)(6)

If you are a host, click here (b)(6) to view host information.

Need help? Go to https://help.webex.com <https://help.webex.com>

From: Schneider, Erin
To: Winkler, Monique; (b)(6)
Subject: FW: [EXTERNAL] RE: Hey
Date: Tuesday, March 8, 2022 12:00:49 PM

Perfect timing. Was surprised (b)(6) was doing it anyway.

From: Peikin, Steven R. <peikins@sullcrom.com>
Sent: Tuesday, March 8, 2022 8:46 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: [EXTERNAL] RE: Hey

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.

That's ok. (b)(6) just bailed on me today. Nice missive from (b)(6)…

From: Schneider, Erin <SchneiderE@sec.gov>
Date: Tuesday, Mar 08, 2022, 11:40 AM
To: Peikin, Steven R. <peikins@sullcrom.com>
Subject: [EXTERNAL] RE: Hey

Hi – chatted internally here and we don't think now is the right time to do this given that our litigation against Balwani is still open. Hope that makes sense.

Thanks for thinking of us. Hope all is well with you.

Erin

From: Peikin, Steven R. <peikins@sullcrom.com>
Sent: Saturday, March 5, 2022 8:10 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Hey

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.

Hey Erin —

Hope this finds you well.

(b)(6) and I teach a criminal securities enforcement seminar at NYU. Every year we do one class on a high profile trial we usually get the prosecutor and defense lawyer. It's off the record and is often the best class of the year. The session is on a Monday in April at 415pm-615pm ET — we can be flexible on the date and participation by zoom works.

This year we want to do Theranos, and I've got (b)(6) agreeing to come. We'd love to have someone from the prosecution but I fear the Balwani trial may make that difficult. Failing that it would be great to have someone from SFRO to participate. Any chance you can help us find an appropriate speaker?

Thanks,

Steve

****This is an external message from:** SchneiderE@sec.gov **

From: Schneider, Erin
To: West, Hartley
Subject: FW: [EXTERNAL] RE: Prep Session for Views from the Top 2022
Date: Thursday, January 6, 2022 11:43:03 AM

Hi I can do the morning of the 18th before 11 and can be flexible on the 19th.

From: Yvonne Gonzalez Rogers (b)(6) @cand.uscourts.gov>
Sent: Thursday, January 6, 2022 8:35 AM
To: (b)(6) Schneider, Erin <SchneiderE@sec.gov>
Cc: West, Hartley <Hartley.West@dechert.com>; (b)(6) >; (b)(6) (b)(6) @cand.uscourts.gov>; (b)(6) < (b)(6) >; Payano, Iricel <Iricel.Payano@dechert.com>
Subject: RE: [EXTERNAL] RE: Prep Session for Views from the Top 2022

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 All,

I am in an ALI Council meeting all day on Thursday 20th from 7am-4:15 pm, Friday 7am-3:45pm. I can meet Monday morning before I begin case management conferences at 1:30. I have 15 scheduled so it will be a long afternoon.

The 19th is wide open as is the morning of the 18th.

Best,
YGR

Judge Yvonne Gonzalez Rogers
United States District Judge
Northern District of California
1301 Clay Street, Fourth Floor
Oakland, CA 94612
(b)(6)

From: (b)(6)
Sent: Thursday, January 6, 2022 8:29 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: West, Hartley <Hartley.West@dechert.com>; Yvonne Gonzalez Rogers (b)(6) @cand.uscourts.gov>; (b)(6) (b)(6) Anjelica Sarmiento (b)(6) @cand.uscourts.gov>; (b)(6) (b)(6) Payano, Iricel <Iricel.Payano@dechert.com>
Subject: Re: [EXTERNAL] RE: Prep Session for Views from the Top 2022

CAUTION - EXTERNAL:

After 3 on 1/20 works for me. I can also do the afternoon of 1/21.

Sent from my iPhone

On Jan 6, 2022, at 8:23 AM, Schneider, Erin <SchneiderE@sec.gov> wrote:

Hi all – I can do a prep session after 2ish on 1/20 and can move things around on the 21st and the 24th. Just let me know. Looking forward to it!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: West, Hartley <Hartley.West@dechert.com>
Sent: Wednesday, January 5, 2022 7:41 PM
To: Yvonne Gonzalez Rogers (b)(6) @cand.uscourts.gov>; (b)(6) (b)(6) (b)(6) Schneider, Erin <SchneiderE@sec.gov>
Cc: Anjelica Sarmiento (b)(6) @cand.uscourts.gov>; (b)(6) (b)(6) Payano, Iricel <Iricel.Payano@dechert.com>
Subject: Prep Session for Views from the Top 2022

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.

Dear Judge Gonzalez Rogers, (b)(6) (b)(6) and Erin,

I am thrilled that we are about to hold the 12th Views from the Top this January 26 from 5:30-7 p.m. As you know, this annual event has been incredibly popular with the white collar, securities, and antitrust bar since its inception. While the pandemic has caused us again to forego meeting in the beautiful Thelton E. Henderson Courtroom and the catered reception that traditionally follows, last year taught us that we can still expect a dynamic audience armed with the same level of probing questions (and friendly ribbing) in a Zoom forum. To prepare for the panel and the aforementioned probing questions, we should schedule about an hour to discuss the panel format and which topics you would especially like to be included. So that it is close enough to the panel date but sufficiently in advance to allow any necessary follow up preparation, I suggest that we aim for January 20, 21, or 24, if any of those work for all of you. Once we set a date and time, I will circulate a calendar invitation with a Zoom link.

I and my associate Iricel Payano (copied) are available to answer any questions you may have.

Best,
Hartley

Hartley M.K. West
Partner

Dechert LLP
One Bush Street, Suite 1600, San Francisco, CA 94104
(b)(6)
633 West 5th Street, Suite 4900, Los Angeles, CA 90071
(b)(6)
hartley.west@dechert.com
dechert.com

From: Schneider, Erin
To: Haddad, Edward G.; Wilson, Stephanie; Schulman, Alice; Ta, Thu Bao; Tomars, Michael
Subject: FW: Call for Presentations - EXAMS Virtual Staff Briefing (Wednesday, March 2)
Date: Thursday, February 10, 2022 2:13:28 PM

Hi – just passing along. If you feel like there is a team that would like to present on something interesting that they found let me know. But no pressure at all!

From: Bruno, Candice (b)(6) @SEC.GOV>
Sent: Thursday, February 10, 2022 10:39 AM
To: #EXAMS Leadership Team (b)(6) @SEC.GOV>
Subject: Call for Presentations - EXAMS Virtual Staff Briefing (Wednesday, March 2)

Hi, Leadership team,

Our next EXAMS Virtual Staff Briefing is **Wednesday, March 2 at 2 p.m. (ET).** We'd like to highlight recent developments or examinations from across the exam program. Presentations should be brief (10 mins or less) and do not require a slide deck.

Please let (b)(6) and me know if you have an update or presentation that you would like to give or that you would like an individual or a team from your office to give to the exam program for this or an upcoming staff briefing (generally held the first Wednesday of each month at 2 p.m. ET).

Regards,

Candice Bruno
Desk: (b)(6) | Mobile: (b)(6)
(b)(6) @sec.gov

From: Schneider, Erin
To: Budd, Sue
Subject: FW: caller
Date: Tuesday, March 8, 2022 3:58:06 PM

Hi – I have a meeting in three mins but can call you right after?

From: (b)(6) @SEC.GOV>
Sent: Tuesday, March 8, 2022 12:57 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: caller

HI Erin,

Sue Budd phoned for you.

(b)(6)

Thanks,

(b)(6)
(b)(6)

Administrative Assistant
U.S. Securities And Exchange Commission (SEC)
(b)(6) @sec.gov | ☎: 415 705 2500

From: Schneider, Erin
To: Snyder, Kristin A.
Subject: FW: Can you click on this link and get to Kristin''s board? Just checking it out
Date: Wednesday, January 12, 2022 11:28:14 AM

Darn it! Message Recall Failure

From: Snyder, Kristin A. <(b)(6) @sec.gov>
Sent: Wednesday, January 12, 2022 8:27 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Message Recall Failure: Can you click on this link and get to Kristin's board? Just checking it out

Your message

To: Ro, Elena; Snyder, Kristin A.

Subject: Can you click on this link and get to Kristin's board? Just checking it out

Sent: 1/12/2022 8:27 AM

cannot be recalled on 1/12/2022 8:27 AM.

From: Schneider, Erin
To: Ro, Elena
Subject: FW: Can you click on this link and get to Kristin''s board? Just checking it out
Date: Wednesday, January 12, 2022 11:30:04 AM

So can you click on the link? I don't want to have to invite everyone, I'd prefer to just send the link

From: Schneider, Erin
Sent: Wednesday, January 12, 2022 8:28 AM
To: Snyder, Kristin A. (b)(6) @sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: RE: Can you click on this link and get to Kristin's board? Just checking it out
In my brain I was thinking, don't send it to Kristin, don't send it to Kristin. This is priceless.

From: Snyder, Kristin A. (b)(6) @sec.gov>
Sent: Wednesday, January 12, 2022 8:27 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: Re: Can you click on this link and get to Kristin's board? Just checking it out
I love it! And of course I'll wait!!!

Sent from my iPhone

> On Jan 12, 2022, at 8:24 AM, Schneider, Erin <SchneiderE@sec.gov> wrote:
>
> Ha ha ha ha ha ha ha ha ha I sent it to Kristin!!!!! This is so classic!!!! I am so embarrassed and also dying of laughter right now. Um, don't click on that, Kristin.
>
> **From:** Schneider, Erin
> **Sent:** Wednesday, January 12, 2022 8:23 AM
> **To:** Ro, Elena (b)(6) @sec.gov>; Snyder, Kristin A. (b)(6) @sec.gov>
> **Subject:** Can you click on this link and get to Kristin's board? Just checking it out
> (b)(6)

From: Schneider, Erin
To: Winkler, Monique; Ro, Elena
Subject: FW: Chief Counsel Selection
Date: Friday, January 28, 2022 3:37:28 PM

(b)(6)

From: Grewal, Gurbir <(b)(6) @SEC.GOV>
Sent: Friday, January 28, 2022 12:26 PM
To: #ENF HO and Regions Employees (b)(6) @SEC.GOV>; #ENF Contractors (b)(6) @SEC.GOV>
Subject: Chief Counsel Selection

All –

I am pleased to announce the selection of Samuel Waldon as Chief Counsel for Enforcement and head of the Office of the Chief Counsel. We will follow up with an exact start date for Sam in the next several weeks, but we expect him to join us later next month.

Many of you know Sam from his prior positions at the SEC. From 2010-2018, Sam served as Assistant Chief Counsel to the Enforcement Division. He also previously worked as an Enforcement staff attorney. Sam will be joining us from Proskauer Rose, where he is a partner in the Litigation Department and a member of the Asset Management Litigation, Securities Litigation, and White Collar Defense and Investigations Groups. I am excited to welcome Sam back to the SEC and am confident that his experience and practical perspective will prove to be an asset for not just the Enforcement Division, but our entire agency.

I would also like to take this opportunity to thank Charlotte Buford and Jonathan Hecht for serving as Acting Co-Chief Counsels for Enforcement. The Enforcement program has benefited enormously from their guidance, and I am looking forward to continuing to work closely with them.

Best,
Gurbir

From: Schneider, Erin
To: Hong, Victor W.; Vasquez, Carlos; Winkler, Monique
Cc: Pendrey, Jeremy
Subject: FW: NYTimes: When They Warn of Rare Disorders, These Prenatal Tests Are Usually Wrong
Date: Monday, January 3, 2022 11:59:46 AM

(b)(5)

From: Combs, Tracy S (b)(6) @SEC.GOV>
Sent: Sunday, January 2, 2022 6:21 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Fwd: NYTimes: When They Warn of Rare Disorders, These Prenatal Tests Are Usually Wrong
FYI.

Begin forwarded message:

> **From:** (b)(6))(6) @gmail.com>
> **Date:** January 2, 2022 at 7:17:19 AM MST
> **To:** "Combs, Tracy S" (b)(6) @sec.gov>
> **Subject: NYTimes: When They Warn of Rare Disorders, These Prenatal Tests Are Usually Wrong**
>
> 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.
>
> When They Warn of Rare Disorders, These Prenatal Tests Are Usually Wrong
> https://www.nytimes.com/2022/01/01/upshot/pregnancy-birth-genetic-testing.html?referringSource=articleShare
>
> Sent from my iPhone

From: Schneider, Erin
To: Winkler, Monique
Subject: FW: Office review completed for (b)(7)(A)
Date: Tuesday, March 22, 2022 11:21:46 AM

This one too – just please do a mental check on all action memos/complaints in this interim period to make sure my name is not on anything after this Friday.

From: Memo Tracking System Enforcement – 2.0 (b)(6) @sec.gov>
Sent: Tuesday, March 22, 2022 6:00 AM
To: (b)(6) (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>; Pendrey, Jeremy (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>
Subject: Office review completed for (b)(7)(A)

(b)(7)(A) has been reviewed by (b)(6) Please see the enclosed link to access any comments or other attachments.

RMP Link: (b)(7)(A)

From: Schneider, Erin
To: Ro, Elena; Winkler, Monique
Subject: Fwd: PLRO Regional Director - Vacancy Announcement
Date: Friday, March 4, 2022 10:41:26 AM

One month after she left

Sent from my iPhone

Begin forwarded message:

> **From:** "Koretke, Charles" <(b)(6)@sec.gov>
> **Date:** March 4, 2022 at 7:23:46 AM PST
> **To:** #EXAMS Leadership Team <(b)(6)@sec.gov>
> **Subject: PLRO Regional Director - Vacancy Announcement**
>
> Good morning,
>
> The vacancy announcement for the Regional Director position in Philadelphia went live this morning on USA Jobs. Please share this link with qualified individuals you know who may be interested in applying.
>
> https://www.usajobs.gov/job/640714400
>
> Chuck
>
> **Chuck Koretke**
> Managing Executive
> Division of Examinations
> (b)(6)

From: Schneider, Erin
To: (b)(6)
Cc: Ro, Elena
Subject: ipad
Date: Monday, March 14, 2022 6:17:12 PM

Are you here today? I have an ipad to return.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Date: Monday, February 14, 2022 6:16:03 PM
Attachments: Resume - (b)(6) (May 2021).pdf

Here is (b)(6) resume. This is the same organization that (b)(6) was talking about, right?

From: Schneider, Erin
To: Gibson, Kelly L. (PLRO)
Date: Wednesday, February 9, 2022 4:18:19 PM

So, you should be getting something in the mail from New Dimension. Don't open it until our Friday RD call! (You're planning to attend, right? I can't think of anything else you'd rather do on your last day!)

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Schulman, Alice
Date: Wednesday, February 9, 2022 4:26:28 PM

Alice – just FYI that I can't make virtual coffee – but have fun!

From: Schneider, Erin
To: Winkler, Monique
Date: Friday, February 18, 2022 12:30:24 PM

Seems like reviews have been released? I can talk to you about yours whenever you want – (b)(6)
(b)(6)

From: Schneider, Erin
To: Haddad, Edward G.
Date: Monday, February 28, 2022 4:21:12 PM

Ugh that was sort of awful. But you definitely have a lot of folks who want to help!

From: Schneider, Erin
To: Ro, Elena
Date: Tuesday, February 15, 2022 5:41:29 PM

(b)(6)

From: Schneider, Erin
To: Winkler, Monique
Date: Wednesday, February 16, 2022 5:39:46 PM

We are going to have to figure out whether (b)(6) just thinks this is hard or it's no way that (b)(6) litigating this. Not for todays conversation.

Sent from my iPhone

From: Schneider, Erin
To: Haddad, Edward G.
Date: Saturday, February 26, 2022 4:01:35 PM

Hi, it looks like they managed to put your paperwork through so I think you're official. Hopefully you can join the leadership call that EXAMS has every Monday at noon. I will forward the cal invite. I can give the SF update until I'm gone. But would be good for you to start attending the calls.

Sent from my iPhone

From: Schneider, Erin
To: Haddad, Edward G.; Winkler, Monique; Ro, Elena
Date: Wednesday, March 9, 2022 2:26:11 PM

Just an FYI that (b)(6) reached out to me about (b)(6) position. I told (b)(6) I would speak with (b)(6) about it – just passing along for your awareness.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Wilson, Stephanie
Cc: Haddad, Edward G.; Winkler, Monique
Date: Monday, March 14, 2022 5:44:05 PM

Hi Steph – in the interim time period before we get a new EXAM Associate could you make sure to loop Ed and Monique into any of the large firm monitoring calls that (b)(6) runs and the quarterly calls led by TM with our registrants? I would greatly appreciate it!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Ro, Elena
Subject: Plaque for (b)(6)
Date: Wednesday, February 16, 2022 2:23:30 PM

EXAMs ADs agree that a plaque is a good idea for (b)(6). Is it possible to at least get a mock-up to show during the staff meeting next week? I will pay for (b)(6).

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Annino, Angelica
Cc: Yerramalli, Prashant; Winkler, Monique
Subject: Please add Monique Winkler, Acting Director for SFRO, to monthly Chairman calls
Date: Tuesday, March 22, 2022 3:36:37 PM

Hi Angelica – I wanted to ask if you could please add Monique Winkler (copied above), who will be serve as the Acting Director for SFRO, to the monthly Chairman calls. Looks like the next one is April 11. I'm happy to forward the invite along to her but wanted to check in with you first.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Ro, Elena; (b)(6)
Subject: RE:
Date: Tuesday, February 15, 2022 3:08:17 PM

Yes, I echo Elena's thanks! It all went really smoothly and I'm glad that everyone was able to attend in the way they wanted. THANK YOU!!!!!

From: Ro, Elena (b)(6) @sec.gov>
Sent: Tuesday, February 15, 2022 11:54 AM
To: (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

Thank you for all your help (b)(6) !

From: (b)(6) (b)(6) @SEC.GOV>
Sent: Tuesday, February 15, 2022 11:51 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: RE:

It looks like 103 people attended. List is attached.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, February 15, 2022 11:18 AM
To: (b)(6) (b)(6) @SEC.GOV>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject:

(b)(6) – is there any way to tell how many folks from the office attended the Town Hall?

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique; Buchholz, Steven
Subject: RE:
Date: Tuesday, March 8, 2022 1:37:50 PM

There is a lot to digest

From: Winkler, Monique <(b)(6)@sec.gov>
Sent: Tuesday, March 8, 2022 9:28 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Buchholz, Steven (b)(6)@sec.gov>
Subject: RE:
I want to give everyone enough time to digest, including me.

> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Tuesday, March 8, 2022 9:24 AM
> **To:** Buchholz, Steven (b)(6)@sec.gov>; Winkler, Monique <(b)(6)@sec.gov>
> **Subject:** RE:
> I was leaving it up to M to schedule. Feel like we need (b)(6) and (b)(6) as well.
>
> **From:** Buchholz, Steven (b)(6)@sec.gov>
> **Sent:** Tuesday, March 8, 2022 9:23 AM
> **To:** Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6)@sec.gov>
> **Subject:** Re:
> Should we talk after the all-hands? I'll make time whenever, and I think (b)(6) is pretty flexible today.
>
> **From:** Schneider, Erin
> **Sent:** Tuesday, March 8, 2022 7:49:03 AM
> **To:** Buchholz, Steven; Winkler, Monique
> **Subject:**
> Wow. There is so much to unpack in that filing.

From: Schneider, Erin
To: Best, Richard R; Gregus, Daniel
Subject: RE:
Date: Tuesday, March 15, 2022 10:41:20 AM

I just checked and I don't see any other time slot for (b)(6). So this seems like a mess up. I can't do 11am PT, if that's what he meant to send it for . . . .

From: Schneider, Erin
Sent: Tuesday, March 15, 2022 7:40 AM
To: Best, Richard R (b)(6) @SEC.GOV>; Gregus, Daniel (b)(6) @SEC.GOV>
Subject:
I have a meeting on my cal for an interview for (b)(6) at 11 pm Pacific. Did (b)(6) send it for the wrong time?

Erin E. Schneider
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, CA 94104
415.705.2500
Schneidere@sec.gov

From: Schneider, Erin
To: Haddad, Edward G.
Subject: RE:
Date: Wednesday, March 16, 2022 2:18:27 PM

I just sent an email to the other RDs as well

From: Haddad, Edward G. (b)(6) @sec.gov>
Sent: Wednesday, March 16, 2022 11:17 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

Yes, I agree. It would be good to understand how other offices handle it.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, March 16, 2022 11:15 AM
To: Haddad, Edward G. (b)(6) @sec.gov>
Subject:

Maybe we can raise the manager telework issue on the EXEC call today as well.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Bruno, Candice
Subject: RE: ***Pls Review***Erin Schneider, SFRO Director, to Leave SEC
Date: Tuesday, March 1, 2022 8:50:21 PM
Attachments: image002.png

This looks great Candice (and is so nice, thank you).
Re tomorrow on the NEP Town Hall, you sent me an invite to be a speaker. I'm not speaking, right? Just wanted to make sure!

From: Bruno, Candice (b)(6) @SEC.GOV>
Sent: Tuesday, March 1, 2022 4:08 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Kahl, Daniel (b)(6) @SEC.GOV>
Subject: ***Pls Review***Erin Schneider, SFRO Director, to Leave SEC

Hi, Erin,

Please review the following message regarding your departure. You may make your changes in the body of the message, if that's easier for you.

Regards,
Candice

DIVISION OF EXAMINATIONS

Erin Schneider, SFRO Director, to Leave SEC
Ed Haddad Appointed Acting Associate Regional Director for Exams in SFRO

Colleagues,

We are writing to share with the Division that Erin Schneider, Director of the San Francisco Regional Office (SFRO), recently announced her decision to leave the SEC at the end of March. We want to express our thanks to Erin for her exceptional leadership of the SFRO, as well as for being a great colleague, advisor and friend to many of us throughout the Division of Examinations. We will miss her profoundly and wish her tremendous success with her future endeavors.

Erin has led the SFRO examination and enforcement programs since being appointed as Regional Director in May 2019. Erin has served the SEC for nearly 17 years, during which she investigated or supervised dozens of enforcement matters involving a variety of significant securities law violations. She joined the SEC in 2005 as a staff attorney in the SFRO. In 2012, Erin was promoted to Assistant Regional Director of the Enforcement Division's Asset Management Unit, and, in 2015, she became the Associate Regional Director of the enforcement program in the SFRO. Prior to joining the SEC, Erin worked as a litigation associate in the Washington D.C. and San Francisco offices of Gibson, Dunn & Crutcher LLP and as an auditor at PricewaterhouseCoopers LLP. She earned her bachelor's degree from the University of California at Berkeley and her law degree (cum laude) from the University of California's Hastings College of the Law.

We are also pleased to announce that, while the search for a permanent Associate Regional Director for Examinations in SFRO is conducted, Ed Haddad has been named as the Acting Associate Regional Director for Examinations. Ed joined the SEC's staff in October 1987 as a securities compliance examiner in the SFRO and was promoted to his current position as an Assistant Director in September 2005. In addition to his current supervisory responsibilities, Ed is one of the primary drivers for SFRO's exam planning efforts and plays an integral role in triaging and handling TCRs and coordinating the work for several of SFRO's local and national examination initiatives. He received his undergraduate degree from the University of Maine and a master's degree in business administration from the University of Washington.

Dan Kahl, Acting Director
Joy Thompson, Acting Deputy Director
EXAMS

From: Schneider, Erin
To: (b)(6)
Subject: RE: 001 Balwani Complaint.pdf
Date: Thursday, January 20, 2022 1:28:43 PM

Oh wow. I am in the office today and I normally load my Outlook with no pst and this time I did with pst. Sorry . . . .

From: (b)(6) (b)(6) @SEC.GOV>
Sent: Thursday, January 20, 2022 10:26 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: 001 Balwani Complaint.pdf

Hi Erin,

2021 called. It wants its old Outbox-trapped emails back.

(b)(5)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, January 20, 2022 9:19 AM
To: (b)(6) (b)(6) @SEC.GOV>
Cc: (b)(6) (b)(6) @SEC.gov>
Subject: 001 Balwani Complaint.pdf

Here's what we did with Balwani. (b)(5)

(b)(5)

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From:	Schneider, Erin
To:	Peavler, David L.
Subject:	RE: 2021 Narratives
Date:	Friday, January 28, 2022 2:26:42 PM

Ok will call you then

From: Peavler, David L. (b)(6) @SEC.GOV>
Sent: Friday, January 28, 2022 11:15 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: 2021 Narratives

Absolutely. How about 1130 am your time?

David
(b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, January 28, 2022 12:45 PM
To: Peavler, David L. (b)(6) @SEC.GOV>
Subject: RE: 2021 Narratives

Can I bend your ear about something? Do you have some time this morning?

From: Peavler, David L. (b)(6) @SEC.GOV>
Sent: Friday, January 28, 2022 9:45 AM
To: Gottschall, Kurt L. (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: 2021 Narratives

I just uploaded to LEAP. I don't expect either to read them.

David
(b)(6)

From: Gottschall, Kurt L. (b)(6) @SEC.GOV>
Sent: Friday, January 28, 2022 11:11 AM
To: Peavler, David L. (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>
Subject: 2021 Narratives

Did either of you send copies directly to Dan/Gurbir? Or did you just upload it in LEAP? Always feels strange at our level to send it around . . .

From: Schneider, Erin
To: Ro, Elena; Winkler, Monique; Jackson, Teresa M.
Subject: RE: 2021 Year End Award Justification Review - SFRO
Date: Thursday, February 17, 2022 9:01:08 PM

All due to your lovely reminders of how to write them (or least that is true for me . . . . . .)

From: Ro, Elena (b)(6) @sec.gov>
Sent: Thursday, February 17, 2022 6:00 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6) @sec.gov>; Jackson, Teresa M. (b)(6) @sec.gov>
Subject: FW: 2021 Year End Award Justification Review - SFRO

So we get an A plus, 100% for good award write ups! We pass!
I tried to use the dashboard, but it wouldn't work for me.

From: Smith, Nada C. W. (b)(6) @SEC.GOV>
Sent: Thursday, February 17, 2022 10:50 AM
To: Ro, Elena (b)(6) @sec.gov>
Cc: Cesaire, Shana (b)(6) @SEC.GOV>; (b)(6) @SEC.GOV>
Subject: 2021 Year End Award Justification Review - SFRO

Hi Elena,

Attached, as discussed in today's Business Manager Meeting, is the slide deck for the OHR 2021 Year End Award Justification Review. Following the Awards closeout for fiscal year (FY) 2021 quarter (Q) 4, the Recognition Team reviewed a sample of award justifications submitted to OHR in Q4. This slide deck provides an overview of the methodology, results including SEC wide and your organization, and resources available to support your organization.

Going forward, the team will continue to review awards to monitor budget usage on a real-time basis to ensure monetary award submissions do not exceed budget allocations. As for reviewing award justifications, the team will review a sample of awards submitted throughout FY22 at the end of each year, after Q4 processing is completed. Following the OHR sample review, we will provide your organization with results and any applicable recommendations. Although we will not be reviewing justifications in real-time, we will continue to be available to answer questions about awards and justifications throughout the year.

If you have any questions after reviewing the slides for your organization, please send us an inquiry through **askHR**.

Thank you,

Nada C.W. Smith, DM
Human Resources Specialist
Compensation and Rewards Strategy Branch
Office of Human Resources
U.S. Securities and Exchange Commission
(b)(6) (Office)
(iPhone)
(b)(6) @sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: ABA panel
Date: Thursday, March 3, 2022 10:52:25 AM

No (b)(6). I'll call you about something, though. Honestly, I didn't see many of the normal players. I think they all just go to the cocktail parties after and don't go to the sessions.

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Thursday, March 3, 2022 7:35 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: ABA panel
☹ No (b)(6)? I suspect mine will be smaller at the end of the day with multiple breakout sessions. I thought of (b)(6) this morning as I was driving in because there is a gigantic billboard for (b)(6) (b)(6)

> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Wednesday, March 2, 2022 9:50 PM
> **To:** Winkler, Monique (b)(6) @sec.gov>
> **Subject:** Re: ABA panel
> Biggest I've seen….. no one is wearing a mask. Went fine. Was my last SEC public appearance. Felt sad. Saw (b)(6)
>
> Sent from my iPhone
>
>> On Mar 2, 2022, at 7:30 PM, Winkler, Monique (b)(6) @sec.gov> wrote:
>>
>> How did it go? Was there a big live audience?
>> *Monique C. Winkler*
>> Associate Regional Director, Enforcement
>> U.S. Securities and Exchange Commission
>> 44 Montgomery Street, Suite 2800
>> San Francisco, California 94104-4691
>> Telephone: (b)(6)
>> Fax: 415.705.2500
>> (b)(6) @sec.gov

From: Schneider, Erin
To: Jackson, Teresa M.; Ro, Elena
Subject: RE: Acting Associate Regional Director
Date: Friday, February 25, 2022 6:39:02 PM

Yes, thank you thank you thank you!

From: Jackson, Teresa M. (b)(6) @sec.gov>
Sent: Friday, February 25, 2022 3:26 PM
To: Ro, Elena (b)(6) @sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Acting Associate Regional Director
You're welcome.

From: Ro, Elena (b)(6) @sec.gov>
Sent: Friday, February 25, 2022 3:03 PM
To: Jackson, Teresa M. (b)(6) @sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: Acting Associate Regional Director
Thank you Teresa!

Sent from my iPhone

> On Feb 25, 2022, at 2:54 PM, Jackson, Teresa M. (b)(6) @sec.gov> wrote:
>
> Ok, will work on it.
>
> **From:** Schneider, Erin (b)(6) @sec.gov>
> **Sent:** Friday, February 25, 2022 2:48 PM
> **To:** Jackson, Teresa M. (b)(6) @sec.gov>; Ro, Elena (b)(6) @sec.gov>
> **Subject:** RE: Acting Associate Regional Director
> (b)(5)
>
> **From:** Jackson, Teresa M. (b)(6) @sec.gov>
> **Sent:** Friday, February 25, 2022 2:47 PM
> **To:** Ro, Elena (b)(6) @sec.gov>
> **Cc:** Schneider, Erin <SchneiderE@sec.gov>
> **Subject:** RE: Acting Associate Regional Director
> (b)(5)
>
> **From:** Ro, Elena (b)(6) @sec.gov>
> **Sent:** Friday, February 25, 2022 2:31 PM
> **To:** Barclay, Valarie (b)(6) @SEC.GOV>
> **Cc:** Jackson, Teresa M. (b)(6) @sec.gov>; Quarles, Donna M. (b)(6) @SEC.GOV>; Inneh, Steven (b)(6) @SEC.GOV>; Budd, Sue (b)(6) @SEC.GOV>; Miller-Pyne, Tamisha A. (b)(6) @sec.gov>; Koretke, Charles (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>
> **Subject:** Re: Acting Associate Regional Director

Apologies - I confirmed with Erin Schneider that this is correct. Please go ahead and process Ed Haddad's temporary promotion effective February 27, 2022. We are very grateful for your assistance!

Sent from my iPhone

On Feb 25, 2022, at 1:27 PM, Barclay, Valarie (b)(6) @sec.gov> wrote:

Hi Teresa,
We were advised that Edward Haddard will be serving as the Acting Associate Regional Director. Edward's temporary promotion is effective Sunday, February 27, 2022. Can you please initiate the SF-52 and route it Donna Quarles for processing? If you have any questions, please do not hesitate to reach out.
Thanks,

Valarie Barclay
Executive Resources Program Manager
U.S. Securities and Exchange Commission
Office of Human Resources, Talent Acquisition Group
100 F Street, N.E. Room 3941
Washington, D.C. 20549
Direct: (b)(6)
Cell: (b)(6)
Email: (b)(6) @SEC.GOV

From: Schneider, Erin
To: Valdez, Victor; Montoya, Paul A.
Subject: RE: Additional Feedback on Resume Reviews
Date: Friday, January 7, 2022 12:12:13 PM

Thanks Vic, this is helpful.

From: Valdez, Victor (b)(6) @SEC.GOV>
Sent: Friday, January 7, 2022 8:16 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Montoya, Paul A. (b)(6) @SEC.GOV>
Subject: Additional Feedback on Resume Reviews

Hi Erin and Paul,

I spoke with Sanjay this morning. (b)(5)
(b)(5)
(b)(5) Does this make sense? Happy to chat again if you want.

Thanks

Vic

From: Schneider, Erin
To: Ro, Elena
Subject: RE: Annual Leave
Date: Friday, February 11, 2022 11:25:04 AM

Thanks. What I've said to Monique and the Exam ADs is that I don't know how this issue will be resolved – so the more they can do to remove obstacles and speed up finishing things before the Summer the better.

From: Ro, Elena (b)(6) @sec.gov>
Sent: Friday, February 11, 2022 8:23 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Annual Leave

(b)(5)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, February 11, 2022 8:18 AM
To: Ro, Elena (b)(6) @sec.gov>
Subject: FW: Annual Leave

From: Valdez, Victor (b)(6) @SEC.GOV>
Sent: Friday, February 11, 2022 8:15 AM
To: #ENF Senior Staff (b)(6) @sec.gov>
Subject: Annual Leave

Hi everyone,

(b)(5)

Vic

From: Schneider, Erin
To: Addison, Renee E.
Cc: Haddad, Edward G.
Subject: RE: Approve TRENDS Cloud Access Request
Date: Tuesday, March 15, 2022 4:21:06 PM

I think I approved it!

From: Addison, Renee E. (b)(6) @SEC.GOV>
Sent: Tuesday, March 15, 2022 1:17 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Haddad, Edward G. (b)(6) @sec.gov>
Subject: Approve TRENDS Cloud Access Request

Hi Erin,

A TRENDS Cloud access request for Edward Haddad is waiting for your approval. Here is a link to the My Approvals Dashboard. This is where you should find any requests that need your approval. Please let me know if you have any questions.

Thank you,

Renee Addison Management and Program Analyst
EXAMS Tech Support | Office of Technology Services
Division of Examinations | U.S. Securities & Exchange Commission
100 F Street NE – Room [illegible] | Washington, DC 20549
Direct: (b)(6) Email: (b)(6) @sec.gov

From: Schneider, Erin
To: Kahl, Daniel
Subject: RE: are you seeing the chats?
Date: Monday, February 28, 2022 5:19:16 PM

I mean, it kinda seemed like we were going together for a little bit! Ha ha
You can mention – but please don't make me say anything. You're like me, you understand. I just feel like folks are exhausted. Mentioning is fine, but no need for me to say anything.

From: Kahl, Daniel (b)(6) @SEC.GOV>
Sent: Monday, February 28, 2022 2:16 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: are you seeing the chats?
Made me laugh when you said we weren't going to the same place!
On Wednesday's TH, will probably mention your departure as well....thoughts?

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, February 28, 2022 3:32 PM
To: Kahl, Daniel (b)(6) @SEC.GOV>
Subject: Re: are you seeing the chats?
Ugh. But maybe it's good to have it all at once!

Sent from my iPhone

> On Feb 28, 2022, at 12:07 PM, Kahl, Daniel (b)(6) @sec.gov> wrote:
>
> Will do you first on regional reports
> **DANIEL S. KAHL**
> Acting Director
> U.S. Securities and Exchange Commission
> Division of Examinations
> 100 F Street NE
> Washington DC 20549
> Phone | (b)(6)

From: Schneider, Erin
To: Jones, Nekia; (b)(6)
Cc: (b)(6)
Subject: RE: ARO/SFRO/AAC Black History Month Event
Date: Friday, February 18, 2022 11:42:50 AM

Ditto! Really excited for this event!

From: Jones, Nekia (b)(6)@SEC.GOV>
Sent: Friday, February 18, 2022 8:15 AM
To: (b)(6)@sec.gov>
Cc: (b)(6)@SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: ARO/SFRO/AAC Black History Month Event

(b)(6)

Good morning! I am happy to participate and look forward to attending.
Kudos to you and (b)(6) for doing so much heavy lifting on this fantastic event.

Nekia Hackworth Jones, Esq.
Regional Director
Atlanta Regional Office
U.S. Securities & Exchange Commission
Cell: (b)(6)

From: (b)(6)@sec.gov>
Sent: Friday, February 18, 2022 10:43 AM
To: Jones, Nekia (b)(6)@SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>
Cc: (b)(6)@SEC.GOV>
Subject: ARO/SFRO/AAC Black History Month Event

Nekia and Erin,

We have the schedule with Dr. Thompson set for the Black History Month Event Thursday next week from 12:00ET-1:00ET. (b)(6) and I are working on the run of the show. We thought each of you will say a few words of welcome at the beginning. Then (b)(6) will introduce Dr. Thompson. Dr. Thompson will make his presentation and then (b)(6) and I will ask questions to prompt discussion on a couple of additional topics. I will present the certificate at the end and close out the program. Let me know if either of you have questions or other suggestions.

(b)(6)

(b)(6) Assistant Regional Director, Division of Enforcement|
U.S. Securities and Exchange Commission|
44 Montgomery Street, Suite 2800 San Francisco, CA 94104|
Ph (b)(6) | email (b)(6)@SEC.GOV

From: Schneider, Erin
To: Hershaft, Michael
Subject: RE: Availability for GAO Prep
Date: Thursday, March 17, 2022 2:03:43 PM

As early as you need

From: Hershaft, Michael (b)(6) [redacted]@SEC.GOV>
Sent: Thursday, March 17, 2022 10:58 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Availability for GAO Prep
I'll try to work with Monday just need to see (b)(6) [redacted] availability. How early can you start PT in the am? Thanks.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, March 17, 2022 1:57 PM
To: Hershaft, Michael (b)(6) [redacted]@SEC.GOV>
Subject: Re: Availability for GAO Prep
I can free up my noon to 130 and 200 onward. Pacific time. If that helps

Sent from my iPhone

> On Mar 17, 2022, at 10:48 AM, Hershaft, Michael (b)(6) [redacted]@sec.gov> wrote:
>
> Hi Erin,
> (b)(6) [redacted] and I would like to schedule a prep session with you, Monique and (b)([redacted] on Monday or Tuesday before Thursday's entrance conference. Availability looks very tight but is there any chance you can free up 930-1030 am PT on Tuesday 3/22? If not, you appear to have some openings on Monday that I'll try to work others around.
> Thanks!

From: Schneider, Erin
To: Buchholz, Steven
Subject: RE: BASF panel on crypto
Date: Thursday, March 24, 2022 7:30:53 PM

I'll do it right now

From: Buchholz, Steven (b)(6) @sec.gov>
Sent: Thursday, March 24, 2022 4:08 PM
To: Winkler, Monique (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
Subject: BASF panel on crypto
I sent the 1743 form to Erin for approval, but I can switch it to Monique if you aren't able to get to it, Erin. (The panel is on April 6; flyer attached FYI.)

From: Schneider, Erin
To: Ro, Elena
Subject: RE: BaySEC
Date: Wednesday, February 16, 2022 12:20:18 PM

(b)(5)

From: Ro, Elena (b)(6) @sec.gov>
Sent: Wednesday, February 16, 2022 9:08 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: BaySEC

(b)(5)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, February 16, 2022 8:59 AM
To: Ro, Elena (b)(6) @sec.gov>
Subject: RE: BaySEC

I told (b)(6) you would be in touch.

From: Ro, Elena (b)(6) @sec.gov>
Sent: Wednesday, February 16, 2022 8:58 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: BaySEC

Awesome – thanks!

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, February 16, 2022 8:56 AM
To: Ro, Elena (b)(6) @sec.gov>
Subject: BaySEC

(b)(6) is in for the Consumer and Retail panel.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Best, Richard R
Subject: RE: Brief Call
Date: Wednesday, March 23, 2022 7:20:19 PM

Are you prepping me for Dan's press release? (Ha Ha)

From: Best, Richard R <(b)(6) @SEC.GOV>
Sent: Wednesday, March 23, 2022 4:12 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: Brief Call
I had to leave. Are you around in the morning?

Sent from my iPhone

> On Mar 23, 2022, at 6:11 PM, Schneider, Erin <SchneiderE@sec.gov> wrote:
>
> Yep – are you still working?
>
> **From:** Best, Richard R <(b)(6) @SEC.GOV>
> **Sent:** Wednesday, March 23, 2022 2:37 PM
> **To:** Schneider, Erin <SchneiderE@sec.gov>
> **Subject:** Brief Call
> Have time for a brief call?
> Rich

From: Schneider, Erin
To: Winkler, Monique; Ro, Elena
Subject: RE: Calendar Issues
Date: Tuesday, March 1, 2022 2:15:30 PM

Yes I could see that as well.

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Tuesday, March 1, 2022 11:14 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>
Subject: RE: Calendar Issues

Yes. The meeting could be quite long and I could see there being issues I may need to deal with after the meeting.

> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Tuesday, March 1, 2022 11:13 AM
> **To:** Winkler, Monique (b)(6) @sec.gov>; Ro, Elena (b)(6) @sec.gov>
> **Subject:** RE: Calendar Issues
>
> (b)(7)(A)
>
> **From:** Winkler, Monique (b)(6) @sec.gov>
> **Sent:** Tuesday, March 1, 2022 11:03 AM
> **To:** Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>
> **Subject:** RE: Calendar Issues
>
> I think we may have a big case on the calendar that day...
>
>> **From:** Schneider, Erin <SchneiderE@sec.gov>
>> **Sent:** Tuesday, March 1, 2022 11:02 AM
>> **To:** Ro, Elena (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>
>> **Subject:** RE: Calendar Issues
>>
>> March 17th!
>>
>> **From:** Ro, Elena (b)(6) @sec.gov>
>> **Sent:** Tuesday, March 1, 2022 10:56 AM
>> **To:** Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6) @sec.gov>
>> **Subject:** RE: Calendar Issues
>>
>> Got it! One last try – March 17 after CCM?
>>
>> **From:** Schneider, Erin <SchneiderE@sec.gov>
>> **Sent:** Tuesday, March 1, 2022 10:48 AM
>> **To:** Ro, Elena (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>
>> **Subject:** RE: Calendar Issues
>>
>> Sorry, I should have given you the background. (b)(6) (b)(6) I then asked her for dates and March 10 is what she threw out. We might have to go without her
>>
>> **From:** Ro, Elena (b)(6) @sec.gov>
>> **Sent:** Tuesday, March 1, 2022 10:46 AM
>> **To:** Winkler, Monique (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
>> **Subject:** RE: Calendar Issues
>>
>> Yup, same here? If my schedule looks open, (b)(6)

(b)(6) . Otherwise, March 22 is great if we go early (because Erin has an EXAMS staff meeting), or any of the CCM days are good other than March 10, and March 8 also looks good if we can ask Jill to move her meeting to later in the day (currently scheduled for 1:00 pm meeting).

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Tuesday, March 1, 2022 10:26 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>
Subject: RE: Calendar Issues

I thought we were looking at the 22^{rd}?

> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Tuesday, March 1, 2022 10:21 AM
> **To:** Ro, Elena (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>
> **Subject:** Calendar Issues
>
> Our 4^{th} is very calendar-challenged and suggested the 10^{th}, which is a Thursday. Want to go for it? CCM looks light (b)(5) and we can catch up on the SO call from colleagues?

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: Call with (b)(6)
Date: Monday, February 28, 2022 7:43:38 PM

Thanks

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Monday, February 28, 2022 4:36 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Fwd: Call with (b)(6)

FYI. I talked to (b)(6) and (b)(6) feels pretty good about how the call went.

Begin forwarded message:

> **From:** (b)(6) (b)(6) @sec.gov>
> **Date:** February 28, 2022 at 3:44:58 PM PST
> **To:** "Winkler, Monique" (b)(6) @sec.gov>
> **Subject: Call with** (b)(6)

(b)(5)

From: Schneider, Erin
To: Kahl, Daniel
Subject: RE: Chat re OIG/SFRO
Date: Friday, February 18, 2022 10:42:14 AM

She accepted my invite. But I feel like (b)(6) I'm going to check in with her.

From: Kahl, Daniel (b)(6) @SEC.GOV>
Sent: Friday, February 18, 2022 6:25 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Chat re OIG/SFRO

Yes, please. Think it makes sense for continuity purposes.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, February 17, 2022 1:54 PM
To: Kahl, Daniel <(b)(6) @SEC.GOV>
Subject: FW: Chat re OIG/SFRO

Want me to reschedule so Joy can attend or go forward?

From: Thompson, Joy G. <(b)(6) @SEC.gov>
Sent: Thursday, February 17, 2022 10:53 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Automatic reply: Chat re OIG/SFRO

(b)(6) However, I will be checking email occasionally and will respond when I return or sooner. Thanks very much!
Joy Thompson

From: Schneider, Erin
To: Jindra, Jan
Subject: RE: Congrats!
Date: Wednesday, February 16, 2022 3:06:31 PM

Yes! THANK YOU!

From: Jindra, Jan (b)(6) @SEC.GOV>
Sent: Wednesday, February 16, 2022 11:41 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Congrats!
–) Is this what you were looking for?
Jan is now one of the four Assistant Directors in the Office of Litigation Economics. He is an AD for newly formed group internally referred to as OLE #4. The group is geographically spread out (NY, DC, Boston, and (hopefully soon) LA) which creates unique challenges and opportunities. Jan will still continue to be involved in investigations and litigation as needed by ENF staff.

Jan Jindra, Ph.D.
Assistant Director
Office of Litigation Economics
Division of Economic and Risk Analysis
U.S. Securities and Exchange Commission
44 Montgomery Street 2800, San Francisco, CA 94104
Office: (b)(6)
Cell: (b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, February 16, 2022 2:06 PM
To: Jindra, Jan (b)(6) @SEC.GOV>
Subject: RE: Congrats!
Awesome. Will you, um, give some detail about your new role? Hee Hee.

From: Jindra, Jan (b)(6) @SEC.GOV>
Sent: Wednesday, February 16, 2022 10:31 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Congrats!
Thank you! And I'm happy to be mentioned in the SFRO Friday newsletter/email!

Jan Jindra, Ph.D.
Assistant Director
Office of Litigation Economics
Division of Economic and Risk Analysis
U.S. Securities and Exchange Commission
44 Montgomery Street 2800, San Francisco, CA 94104
Office: (b)(6)
Cell: (b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, February 16, 2022 1:18 PM
To: Jindra, Jan (b)(6) @SEC.GOV>
Subject: Congrats!

I heard that you have a promotion! I hadn't heard that. CONGRATULATIONS!! Would you mind if I let the office know in my Friday email? If you'd prefer I don't – that's fine too – many people ask me not to email about them!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Layne, Michele W.
Subject: Re: Contact info/Updated bios-- Securities Enforcement Forum West 2022 - Thursday, May 12, 2022 at the Four Seasons Hotel Silicon Valley at East Palo Alto
Date: Friday, March 25, 2022 10:56:17 AM

Yep! As soon as the press release comes out.

Sent from my iPhone

> On Mar 25, 2022, at 7:20 AM, Layne, Michele W. (b)(6) @sec.gov> wrote:
>
> (b)(6) You'll let him know about Monique's new title and her joining the Directors Panel? (b)(6)
>
> **From:** (b)(6) @securitiesdocket.com>
> **Sent:** Friday, March 25, 2022 5:33 AM
> **To:** Schneider, Erin <SchneiderE@sec.gov>; Layne, Michele W. (b)(6) @sec.gov>
> **Subject:** Contact info/Updated bios-- Securities Enforcement Forum West 2022 - Thursday, May 12, 2022 at the Four Seasons Hotel Silicon Valley at East Palo Alto
>
> **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, can you please provide me with contact info and a title (and a bio if possible) for (b)(6)?
> And can you please let me know if you can think of any SEC panelists who are in new positions in 2022? We will update their 2021 bios if there are changes.
> Thanks!
>
> Best,
> (b)(6)
> (b)(6) Securities Docket
> mobile: (b)(6)
> http://www.securitiesdocket.com
>
>> On Mar 21, 2022, at 2:12 PM, Schneider, Erin <SchneiderE@sec.gov> wrote:
>> Hi Bruce – Michele and I are working on this. Let me chat with her.
>>
>> **From:** (b)(6) @securitiesdocket.com>
>> **Sent:** Monday, March 21, 2022 11:11 AM
>> **To:** Layne, Michele W. (b)(6) @sec.gov>
>> **Cc:** Schneider, Erin <SchneiderE@sec.gov>
>> **Subject:** Re: Panel topics-- Securities Enforcement Forum West 2022 - Thursday, May 12, 2022 at the Four Seasons Hotel Silicon Valley at East Palo Alto
>>
>> **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.

Thanks, are you able to send that info to me now?

Best,
(b)(6)
(b)(6) Securities Docket
mobile: (b)(6)
http://www.securitiesdocket.com

On Mar 17, 2022, at 10:02 AM, Layne, Michele W.
(b)(6)@sec.gov> wrote:
Thanks (b)(6) We hope to get you the info by tomorrow at the latest.

On Mar 17, 2022, at 5:27 AM, (b)(6)
<(b)(6)@securitiesdocket.com> wrote:

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 Michele and Erin
We have the non-SEC panelists tentatively slotted on the panels below now, and would like to add your SEC colleagues and start getting everything on the website, etc.
Please send me your list of SEC panelists when you can.

Thanks so much!

Best,
(b)(6)
(b)(6) Securities Docket
mobile: (b)(6)
http://www.securitiesdocket.com

On Mar 10, 2022, at 4:35 PM,
(b)(6)
<(b)(6)@securitiesdocket.com>
wrote:
Hi Michele and Erin

We are planning on the following topics for Securities Enforcement Forum West 2022:

1. The SEC's Focus on Cybersecurity Disclosure, Enforcement and Key Guidance for 2022
2. Silicon Valley Spotlight: Regulation, Enforcement and Prosecution Trends
3. Cryptocurrency Regulation, Enforcement and Litigation
4. Managing Internal Investigations and Advanced Government Defense
5. Financial Disclosure and Accounting Fraud
6. SPACs, Climate and ESG, and Emerging Enforcement Priorities
7. Insider Trading 360° Enforcement Trends and Key Cases, Prosecutions, and Legislation
8. Whistleblower Update – The Impact on Corporations and SEC Enforcement

Thank you again for your participation and for your colleagues' involvement, as well! It makes the day so interesting and valuable for the attendees. Please let me know which of your colleagues you think would be good fits for these panels.

In addition to these panels, there will also be the Directors' Panel, as well as a new "In-House" panel moderated by Jessica Chan of Uber that will include four in-house counsel from the Bay Area.

Thanks so much!

Best,
[redacted]
[redacted], Securities Docket
mobile: [redacted]
http://www.securitiesdocket.com

On Feb 3, 2022, at 7:47 PM, Schneider, Erin <SchneiderE@sec.gov> wrote:

Hi [redacted] – sorry – I'm not sure how I missed this email when it came in. Of course, would be happy to help find the appropriate SEC speakers once you've firmed up the panels!

From: Layne, Michele W. [redacted]@sec.gov>
Sent: Thursday, February 3, 2022 7:17 AM
To: [redacted]@securitiesdocket.com>; Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Panelist invitations -- Securities Enforcement Forum West 2022 - Thursday, May 12, 2022 at the Four Seasons Hotel Silicon Valley at East Palo Alto

Hi [redacted],

Sorry for the delay. Hope you are doing well.

I'm happy to be on the Directors Panel again, and yes, of course you can count on my colleagues to join as panelists on other panels as well.

Michele

From: [redacted]
<[redacted]@securitiesdocket.com>
Sent: Friday, January 28, 2022 8:42 AM
To: Layne, Michele W. <[redacted]@sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
Subject: Panelist invitations -- Securities Enforcement Forum West 2022 - Thursday, May 12, 2022 at the Four Seasons Hotel Silicon Valley at East Palo Alto

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 Michele and Erin

I hope you're doing great. **Securities Enforcement Forum West 2022 is now set for Thursday, May 12, 2022,** and the plan is to hold it in person at the Four Seasons Hotel Silicon Valley at East Palo Alto!

Will you and your West Coast colleagues please join us as panelists again this year? Your offices' participation continues to make this event one of the most anticipated events each year in the securities enforcement world! We plan to hold the Directors' Panel again, and many of the same substantive panels as in past years.

Please let me know, and thanks!

Best,
(b)(6)
(b)(6) Securities Docket
mobile: (b)(6)
(b)(6)
http://www.securitiesdocket.com

From: Schneider, Erin
To: (b)(6)
Cc: (b)(6)
Subject: RE: Intro for : SFRO Women"s History Month Event with AAC and WC
Date: Wednesday, March 16, 2022 2:13:36 PM
Attachments: image001.png
image002.png
image003.png
image004.png

No – please send and then I'll reinforce in my Friday email

From: (b)(6) @sec.gov>
Sent: Wednesday, March 16, 2022 10:44 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: (b)(6) @sec.gov>
Subject: FW: Intro for : SFRO Women's History Month Event with AAC and WC

Hi Erin,

OK to send an office wide invite for the Quarters event as suggested by (b)(6) or would you rather advertise using your Friday email?

From: (b)(6) @sec.gov>
Sent: Wednesday, March 16, 2022 10:42 AM
To: (b)(6) @sec.gov>
Subject: FW: Intro for : SFRO Women's History Month Event with AAC and WC

Hi (b)(6)

Someone just tried putting a meeting on my calendar for 3/21 at 11am – can you send an outlook invite to SFRO for the Quarter's Program so that the time is blocked off?

Thanks,

(b)(6)
(b)(6)
U.S. Securities and Exchange Commission
San Francisco Regional Office
Senior Staff Accountant
(b)(6)

From: (b)(6) @sec.gov>
Sent: Wednesday, March 16, 2022 10:40 AM
To: (b)(6) @sec.gov>; (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
Cc: (b)(6) @sec.gov>; (b)(6) @sec.gov>
Subject: RE: Intro for : SFRO Women's History Month Event with AAC and WC

I am fine to do the intros.

(b)(6) Assistant Regional Director, Division of Enforcement|
U.S. Securities and Exchange Commission|
44 Montgomery Street, Suite 2800 San Francisco, CA 94104|
Ph (b)(6) |email (b)(6) @SEC.GOV

From: (b)(6) @sec.gov>
Sent: Wednesday, March 16, 2022 10:39 AM
To: (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>

U.S. Securities and
Exchange Commission

U.S. Securities and Exchange Commission

PRIDE

ALLIANCE ALLY

Cc: (b)(6) @sec.gov>; (b)(6) @sec.gov>; (b)(6)
(b)(6) @sec.gov>
Subject: RE: Intro for : SFRO Women's History Month Event with AAC and WC
(b)(5)
Thanks,
(b)(6)
U.S. Securities and Exchange Commission
San Francisco Regional Office
Senior Staff Accountant
(b)(6)

From: (b)(6) @sec.gov>
Sent: Wednesday, March 16, 2022 9:50 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: (b)(6) @sec.gov>; (b)(6) @sec.gov>; (b)(6)
(b)(6) @sec.gov>; (b)(6) @sec.gov>
Subject: Intro for : SFRO Women's History Month Event with AAC and WC
Hi all,
(b)(5)
(b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, March 11, 2022 10:43 AM
To: (b)(6) @sec.gov>
Cc: (b)(6) @sec.gov>; (b)(6) @sec.gov>; (b)(6)
(b)(6) @sec.gov>; (b)(6) @sec.gov>
Subject: Re: SFRO Women's History Month Event with AAC and WC
Yay!!!

Sent from my iPhone

> On Mar 11, 2022, at 10:31 AM, (b)(6) @sec.gov> wrote:
>
> FYI, the SEC Today notice for the American Women Quarters event should go out in Monday's edition:
>
> **From:** (b)(6) @SEC.GOV>
> **Sent:** Friday, March 11, 2022 8:57 AM
> **To:** SEC Today (b)(6) @SEC.GOV>
> **Cc:** (b)(6) @sec.gov>
> **Subject:** RE: SFRO Women's History Month Event with AAC and WC
> Thanks, (b)(6) I am pulling together events for the Diversity Council meeting and just saw it on the Exchange calendar. Thank you!
> (b)(6)

From: SEC Today (b)(6) @SEC.GOV>
Sent: Friday, March 11, 2022 11:56 AM
To: (b)(6) @SEC.GOV>
Cc: (b)(6) @sec.gov>
Subject: RE: SFRO Women's History Month Event with AAC and WC

This one is all set for Monday's edition. Have a great weekend!

(b)(6)
Editor-writer (contractor)
Office of Public Affairs
OFFICE (VM) (b)(6)
(b)(6) @sec.gov

U.S. Securities and Exchange Commission

From: (b)(6) @SEC.GOV>
Sent: Thursday, March 10, 2022 11:44 AM
To: SEC Today (b)(6) @SEC.GOV>
Cc: (b)(6) @sec.gov>
Subject: SFRO Women's History Month Event with AAC and WC

Good morning,

Please find the attached SEC Today notice for a new Women's History Month event hosted by the SFRO, the AAC, and Women's Committee. We will send the WebEx once it's available. Thanks.

(b)(6)
Diversity Specialist
Office of Minority and Women Inclusion (OMWI)
OFFICE (b)(6)
MOBILE
(b)(6 @sec.gov

U.S. Securities and Exchange Commission

PRIDE
ALLIANCE ALLY

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: (b)(6) is asking where you are going because the Chair will ask (b)(6).
Date: Wednesday, March 23, 2022 1:54:34 PM

(b)(6)

From: Winkler, Monique (b)(6)@sec.gov>
Sent: Wednesday, March 23, 2022 10:42 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(6) is asking where you are going because the Chair will ask (b)(6).

Do you mind if I give him the name? And if you don't, remind me what the name is.

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6)@sec.gov

From: Schneider, Erin
To: Best, Richard R
Subject: Re: NYRO Enforcement Announcement
Date: Wednesday, February 16, 2022 5:27:07 PM

So happy you can move forward!

Sent from my iPhone

> On Feb 16, 2022, at 2:04 PM, Best, Richard R (b)(6) @sec.gov> wrote:
>
> Thanks, Erin!
>
> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Wednesday, February 16, 2022 4:57 PM
> **To:** Best, Richard R (b)(6) @SEC.GOV>
> **Subject:** RE: NYRO Enforcement Announcement
> Wow! Three groups!!!!
>
> **From:** Best, Richard R (b)(6) @SEC.GOV>
> **Sent:** Wednesday, February 16, 2022 1:55 PM
> **To:** #Regional Directors (b)(6) @SEC.GOV>
> **Subject:** FW: NYRO Enforcement Announcement
> Hi all,
> Here is breaking news on our open Enforcement Associate position.
> Rich
>
> **From:** Best, Richard R
> **Sent:** Wednesday, February 16, 2022 4:51 PM
> **To:** #NYRO\EVERYONE (b)(6) @SEC.GOV>
> **Subject:** NYRO Enforcement Announcement
> All,
> As I mentioned on the town hall, I am pleased to announce the reorganization of NYRO's Enforcement program into three Associate groups, and the promotion of **Tom Smith** and **Sheldon Pollock** as NYRO's two new Associate Regional Directors.
> Tom joined the Commission in 2004 and has served as an Assistant Regional Director in NYRO from 2014 to the present. In that capacity, he has supervised a wide variety of complex enforcement matters, including for example, the recently-announced settlement against JP Morgan for widespread record-keeping failures; another settled

action against JP Morgan for fraudulently engaging in manipulative trading of U.S. Treasury securities; and a settled action against Stryker Corp. charging them with violations of books and records and internal accounting controls provisions of the Foreign Corrupt Practices Act. Tom was a member of the Market Abuse Unit from 2010 to 2014. Prior to joining the Commission, Tom was a corporate associate at Fried Frank Harris, Shriver & Jacobson in Washington, D.C. He obtained his J.D. from Georgetown University Law Center and a B.S. from the United States Naval Academy.

Sheldon joined the Commission in 2010 and has served as an Assistant Regional Director in NYRO from 2015 to the present. Sheldon has also supervised a wide variety of complex enforcement matters, including for example a litigated action against three individuals and their affiliated entities for running a Ponzi-like scheme that raised over $1.7 billion from securities issued by GPB Capital; a settled action, in concert with FINRA and CFTC, against Interactive Brokers for failing to file suspicious activity reports; and a litigated action against two individuals, including an employee at S&P Global, for insider trading. Sheldon was a member of the Market Abuse Unit from 2011 to 2015 and he served as a Special Assistant United States Attorney in the United States Attorney's Office for the District of Connecticut from 2014 to 2015. Prior to joining the Commission, Sheldon was a litigation associate at Davis Polk & Wardwell, LLP and he clerked for U.S. District Court Judge Colleen Kollar-Kotelly in the District of Columbia. Sheldon obtained his J.D. from Harvard Law School, a Master's degree from the London School of Economics, and his B.S. from Villanova University.

Tom and Sheldon will join Lara in supervising NYRO's Enforcement program.

Please join me in congratulating Tom and Sheldon.

Rich

From: Schneider, Erin
To: (b)(6) Winkler, Monique; (b)(6)
Cc: (b)(6)
Subject: RE: (b)(5)
Date: Tuesday, February 8, 2022 1:56:01 PM

Thanks so much, (b)(6) I'm going to defer to Monique or (b)(6) on any specific comments.

From: (b)(6) (b)(6)@SEC.GOV>
Sent: Monday, February 7, 2022 12:50 PM
To: Winkler, Monique (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>; (b)(6) (b)(6) (b)(6) @sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>; (b)(6) (b)(6) @SEC.GOV>; (b)(6) (b)(6) (b)(6) @SEC.GOV>; (b)(6) (b)(6) @sec.gov>
Subject: (b)(5)

Hi everyone,

(b)(5)

(b)(6)

From: Schneider, Erin
To: Buchholz, Steven; Davis, Tracy L.; Haddad, Edward G.; LaMarca, Susan F.; Lee, Jason H; Lee, Jennifer J.; Pendrey, Jeremy; Ro, Elena; Schneider, Erin; Schulman, Alice; Ta, Thu Bao; Vasquez, Carlos; Wilson, Stephanie; Winkler, Monique
Subject: SFROQA_Peirce_2.15.22.docx
Date: Thursday, February 10, 2022 7:19:56 PM
Attachments: SFROQA_Peirce_2.15.22.docx

Hi folks – thought I would send around my working list of questions for Comm'r Peirce on Tuesday. The questions are a little stream-of-consciousness but I wanted to let you know what I was thinking. Will you let me know if there any questions you think the EXAM or ENF programs will want to hear about? I would greatly appreciate. I'll also remind folks to send me their questions in my Friday morning email. I'll probably try to send to her counsel sometime Friday night.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Montoya, Paul A.
Subject: Sorry, one more question
Date: Thursday, January 13, 2022 11:53:51 AM

(b)(5)

From: Schneider, Erin
To: Haddad, Edward G.; Schulman, Alice; Wilson, Stephanie; Ta, Thu Bao; Tomars, Michael
Cc: Ro, Elena
Subject: Special Act Awards Budget for SFRO EXAMS for Q1-Q3
Date: Wednesday, February 2, 2022 2:18:47 PM

Hi Folks – I just wanted to make sure you had this information. <u>The deadline for submission is August 19th</u>. Looks like we have a budget for Q1-Q3 and will get Q4 once we get our full budget. (b)(5)

(b)(5)

From: OHR_Communications (b)(6) @SEC.GOV>
Sent: Friday, January 21, 2022 10:08 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>; Lee, Mark (b)(6) @SEC.GOV>; Jackson, Teresa M. (b)(6) @sec.gov>
Cc: Buckley, William (b)(6) @SEC.GOV>; Scavo, Tara (b)(6) @SEC.GOV>; Hoefke, Alicia (b)(6) @SEC.GOV>; Warren, Mary (b)(6) @SEC.GOV>; Warfield, Sauntia (b)(6) @SEC.GOV>; Budd, Sue (b)(6) @SEC.GOV>; Miller-Pyne, Tamisha A. (b)(6) @sec.gov>; SEC Recognition (b)(6) @sec.gov>
Subject: AMENDED: FY 2022 Awards Program and Budget Allocation

To: San Francisco Regional Office – Regional Director, Assistant Regional Director, Business Manager and Administrative Officer
From: Office of Human Resources (OHR)
RE: AMENDED: FY 2022 Awards Program and Budget Allocation

FY 2022 Recognition Program

The Recognition Program is currently open for the FY 2022 cycle. The Office of Human Resources (OHR) is accepting nominations for Special Act, On-the-Spot, and Time Off Awards through the awards module in **<u>HR4Me</u>**. These awards are designed to motivate employees and recognize their contributions to the agency and its mission. Recognition has its greatest impact when it is provided as close to the contribution or achievement, as possible. Therefore, Supervisors should appropriately recognize employees throughout the year.

Criteria and Eligibility

On-the-spot awards may be granted to an employee or group of employees to recognize one-time and short term efforts of especially high quality or quantity service. A special act award may be granted to an employee or group of employees under the following criteria:

- makes a highly exceptional or unusually outstanding contribution that is beyond his/her normal job responsibilities and performance standards;
- in the face of unusual obstacles or pressures, displaying special skills or initiative in completing assignments before deadlines, or in handling additional assignments while maintaining his/her workload;
- uses notable initiative or creativity in improving a product, activity, program or service; or
- performs a one-time, short-term assignment in an exemplary manner

All SK employees can be nominated for On-the-Spot, Special Act, and Time Off awards. Senior Officers and Schedule C appointees can only be nominated for Time Off awards. Supervisors must consider all eligible employees from all occupations and grades when making recognition decisions and determine the most appropriate way to recognize employees via all available recognition options.

Justifications

Justifications are an important factor for reviewers to determine whether an award should be authorized and the appropriateness of the requested amount of cash and/or time off. Justifications should include specific details of the employee's contribution and how it aligns with the award criteria (included in the above section). The following starters are examples on how to begin addressing the criteria in the justification:

- Employee A made an exceptional contribution to the ABC team. Employee A's contributions included...

- The A team successfully implemented a new process of... This contribution was completed in addition to the team's normal work and with a lot of pressure due to...
- The office of ABC is now able to manage requests more efficiently because of Employee A's initiative and creative efforts, which were...
- Employee A successfully completed..., which was a short-term assignment. Employee A's exemplary efforts included...

For a complete, well-rounded justification these starters should be followed by a full description of the contribution.

Allocation

Your award allocation for Quarter 1 (Q1), Quarter 2 (Q2), and Quarter 3 (Q3) is displayed below. The funds are now available in your HR4Me Awards budget. Please be aware that the funding for Quarter 4 (Q4) awards is contingent on the agency's full-year appropriation and will be communicated by OHR at a later date. The **deadline for submitting FY 2022 cash and time-off awards** is **Friday, August 19, 2022**. Funds remaining in the division/office budgets after August 19th will be returned to OHR to manage centrally.

[redacted]	
Q1	(b)(6)
Q2	
Q3	
Total	

Resources and Reference Material

Business office staff are encouraged to become familiar with the reporting functionality in HR4Me and should actively monitor award budget usage throughout the year, and also keep senior leaders and supervisors up-to-date on funds availability and the status of employee recognition. To aide with these processes, OHR has created a new HR4Me Awards Reporting Reference Guide. The quick reference guide provides instructions on how to search for awards, view budgets, and how to access reports in HR4Me.

The Recognition Dashboard is also available to increase awareness and simplify access to recognition data. The Dashboard is available to business office personnel, supervisors, and division directors/office heads and shows data by award type, occupation and grade, and employee demographics.

OHR is available to provide assistance with the recognition program and HR4Me as needed, both to individuals and Division/Office management groups. To request assistance please contact Shana Cesaire or submit a request via AskHR.

From: Schneider, Erin
To: (b)(6)
Subject: staff meeting today
Date: Tuesday, February 22, 2022 12:05:38 PM

Hi - -I know it's last minute, but are you available to do a diversity committee update at the staff meeting today? If not, no worries at all – I should have asked last week. Thanks!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: Still a good time?
Date: Friday, February 25, 2022 1:32:05 PM

From: Schneider, Erin
To: #Regional Directors
Subject: Suggestion for me from my office
Date: Friday, February 18, 2022 5:00:12 PM

Who is this??? I thought (b)(6) quit? It was suggested to me that I also do this to liven things up in SFRO – apparently my Friday updates could use more pizazz.

… each week their RD includes a picture of some place(corridor, office, testimony room) in the office to remind everyone what the office looks like.. might be fun?! :)

Ha Ha Ha

Erin E. Schneider
Regional Director
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44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Grewal, Gurbir
Subject: Tesla article
Date: Saturday, January 15, 2022 5:35:58 PM

I'm sure you've seen the article, but just wanted to make sure. There's no to do here but just wanted to let you know that, based on what was reported, the article is referring (b)(6) (b)(6)

https://www.wsj.com/articles/elon-musks-tesla-asked-law-firm-to-fire-associate-hired-from-sec-11642265007?mod=mh

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: this happens
Date: Monday, February 14, 2022 5:28:18 PM

From: Schneider, Erin
To: Grewal, Gurbir
Subject: Update -- Schneider
Date: Tuesday, February 22, 2022 11:18:24 AM

Told (b)(6) this already – but I planned to reach out to the Commissioners today to tell them I'm leaving and then tell the San Francisco office tomorrow. So after tomorrow it will be well-known.

Thanks,

Erin

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Snyder, Kristin A.
Subject: Views From the Top -- tell folks you"re leaving?
Date: Friday, January 21, 2022 12:34:52 PM

Have Views From the Top on Weds evening (the 26th). I was going to say you are leaving – but let me know if you prefer that I don't. Not sure if you want that publicly out there before the press release comes out or not. I'm fine with anything – happy to say something or say nothing.

Erin E. Schneider
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From: Schneider, Erin
To: Filipp, Chrissy
Subject: Will you be able to make (b)(6) farewell? I don"t see you -- just don"t want to miss you
Date: Tuesday, February 22, 2022 5:18:55 PM

From: Schneider, Erin
To: Ro, Elena
Subject: FW: Teachers
Date: Thursday, February 24, 2022 6:30:16 PM

(b)(5)

From: Persson, Jill (b)(6)@sec.gov>
Sent: Thursday, February 24, 2022 3:27 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Vasquez, Carlos (b)(6)@sec.gov>; Ro, Elena (b)(6)@sec.gov>; Wilson, Stephanie (b)(6)@sec.gov>
Subject: RE: Teachers

Sounds good.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, February 24, 2022 3:16 PM
To: Persson, Jill (b)(6)@sec.gov>
Cc: Vasquez, Carlos (b)(6)@sec.gov>; Ro, Elena (b)(6)@sec.gov>; Wilson, Stephanie (b)(6)@sec.gov>
Subject: Re: Teachers

Can we do the last meeting and then go from there?

Sent from my iPhone

> On Feb 24, 2022, at 3:13 PM, Persson, Jill (b)(6)@sec.gov> wrote:
>
> March 8 at 1pm
>
> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Thursday, February 24, 2022 3:13 PM
> **To:** Persson, Jill (b)(6)@sec.gov>
> **Cc:** Vasquez, Carlos (b)(6)@sec.gov>; Ro, Elena (b)(6)@sec.gov>; Wilson, Stephanie (b)(6)@sec.gov>
> **Subject:** Re: Teachers
>
> When is the next meeting?
>
> Sent from my iPhone
>
>> On Feb 24, 2022, at 3:05 PM, Persson, Jill (b)(6)@sec.gov> wrote:
>>
>> Great! Thanks everyone.
>>
>> (b)(5)

(b)(5)

Carlos, I'll get you the list of annual routine outreach events/contacts and their contact info. Also, will provide you with materials that we have used or developed. Please let me know what I can do to support this going forward.
Thanks again all!!
Jill

From: Vasquez, Carlos (b)(6) @sec.gov>
Sent: Thursday, February 24, 2022 2:58 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>; Persson, Jill (b)(6) @sec.gov>; Wilson, Stephanie (b)(6) @sec.gov>
Subject: Re: Teachers
Makes sense to me

Sent from my iPhone

On Feb 24, 2022, at 2:53 PM, Schneider, Erin <SchneiderE@sec.gov> wrote:

This is fine with me – could see some benefits in having it all in one meeting.

From: Ro, Elena (b)(6) @sec.gov>
Sent: Thursday, February 24, 2022 2:16 PM
To: Persson, Jill (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>; Vasquez, Carlos (b)(6) @sec.gov>
Cc: Wilson, Stephanie (b)(6) @sec.gov>
Subject: RE: Teachers
Thanks Jill! If it makes sense to Carlos, I would be in favor of moving to monthly general SFRO investor services meetings, where teachers activity gets reported on too.

From: Persson, Jill (b)(6) @sec.gov>
Sent: Thursday, February 24, 2022 1:26 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Vasquez, Carlos (b)(6) @sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>; Wilson, Stephanie (b)(6) @sec.gov>
Subject: Teachers
Hello Erin and Carlos!
Thought now might be a good time to touch base on this.

(b)(5)

Thanks,

Jill

Jill C. Persson
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800 | San Francisco, CA 94104
Phone (b)(6) | Mobile (b)(6)

From: Schneider, Erin on behalf of (b)(6)
To: Winkler, Monique; Kahl, Daniel; Snyder, Kristin A.; #EXAMS Leadership Team; McCarthy, Jennifer; Boyle, Lochlann; Blackburn, Lisa G; Koretke, Charles; Jessen, Dawn L.
Cc: Keating, Maurya; Reese, James R.; Jones, Nekia; Gracia, Louis A.; Peavler, David L.; Butler, Thomas; Gandy, Marshall; Rufino, Michael; Esau, Donna C.; Best, Richard R; Greiner, Natasha (Vij); Storch, Adam; Gregus, Daniel; Gottschall, Kurt L.; Caballes, Lourdes D.; Polise, John S.; Bustillo, Eric I.; Thompson, Joy G.; Horton, Vanessa L.; Goodman, Kevin W.; Levenson, Paul; Lorenzen, Barbara S.; Gibson, Kelly L. (PLRO); Kelcourse, Kevin M.; Bennett, Bryan; Layne, Michele W.; Piccone, Thomas M.; Uhlmann, Peter
Subject: FW: Weekly Leadership Meeting

-----Original Appointment-----
From: (b)(6) @SEC.GOV>
Sent: Wednesday, August 18, 2021 9:53 AM
To: Miles, Brandon (Contractor); Kahl, Daniel; Snyder, Kristin A.; #EXAMS Leadership Team; McCarthy, Jennifer; Boyle, Lochlann; Blackburn, Lisa G; Koretke, Charles; Jessen, Dawn L.
Cc: Keating, Maurya; Reese, James R.; Jones, Nekia; Gracia, Louis A.; Peavler, David L.; Butler, Thomas; Gandy, Marshall; Rufino, Michael; Esau, Donna C.; Best, Richard R; Greiner, Natasha (Vij); Storch, Adam; Gregus, Daniel; Gottschall, Kurt L.; Caballes, Lourdes D.; Polise, John S.; Bustillo, Eric I.; Thompson, Joy G.; Horton, Vanessa L.; Goodman, Kevin W.; Levenson, Paul; Lorenzen, Barbara S.; Gibson, Kelly L. (PLRO); Kelcourse, Kevin M.; Bennett, Bryan; Layne, Michele W.; Piccone, Thomas M.; Uhlmann, Peter
Subject: Weekly Leadership Meeting
When: Occurs every Monday effective 8/23/2021 until 3/28/2022 from 3:00 PM to 3:30 PM (UTC-05:00) Eastern Time (US & Canada).
Where: WebEX

-- Do not delete or change any of the following text. --

When it's time, join your Webex meeting here.

Join meeting (b)(6)

More ways to join:

Join from the meeting link

(b)(6)

Join by meeting number

Meeting number (access code): (b)(6)

Meeting password: (b)(6) from phones and video systems)

Tap to join from a mobile device (attendees only)
(b)(6) USA Toll 2
US Toll
Some mobile devices may ask attendees to enter a numeric meeting password.

Join by phone
(b)(6) USA Toll 2
US Toll
Global call-in numbers (b)(6)

Join from a video system or application
Dial (b)(6)

Join using Microsoft Lync or Microsoft Skype for Business

Dial (b)(6)

If you are a host, click here (b)(6) to view host information.

Need help? Go to https://help.webex.com <https://help.webex.com>

From: Schneider, Erin
To: Vasquez, Carlos; Winkler, Monique; Hong, Victor W.
Subject: FW: Weird email
Date: Wednesday, January 19, 2022 11:54:56 AM

This is what Jerry advised.

From: Zhen, Jerry (b)(6) @sec.gov>
Sent: Wednesday, January 19, 2022 8:46 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Diep, Janny (b)(6) @sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: RE: Weird email

Does it have the subject line: "FW: Thomas King via Document Cloud (Response to SEC Request)"?
If so, please delete it. We have received quite a few reports already. Simply delete it. I will report this spam email to OIT.
Jerry

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, January 19, 2022 8:38 AM
To: Zhen, Jerry (b)(6) @sec.gov>; Diep, Janny (b)(6) @sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: Weird email

Hi, I have a weird email from someone who claims to be providing docs to me in response to my doc request. I obviously don't want to click on the link – but also not sure if it's a TCR or something else.
How should I handle?

Erin E. Schneider
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44 Montgomery Street, Suite 2800
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schneidere@sec.gov

From: Schneider, Erin
To: Uclusin, Wilda A.; Ro, Elena
Subject: RE: SHOW attached
Date: Friday, January 21, 2022 7:44:15 PM

Hi! So I really it, but I think (b)(6) (b)(6) Is there any way to change that one to just be a slide similar to the one before it where there are a bunch of pictures of (b)(6) with other people? I think (b)(6) will want the photos of (b)(6) with other people the most.

Is that easy to do?

From: Uclusin, Wilda A. (b)(6) @sec.gov>
Sent: Friday, January 21, 2022 9:48 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>
Subject: SHOW attached

I'm going to attach the PowerPoint Show for you to watch. There are only 6 slides so it shouldn't take very long.

To move from slide to slide, press space bar OR click once on the mouse.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, January 21, 2022 9:16 AM
To: Uclusin, Wilda A. (b)(6) @sec.gov>; Ro, Elena (b)(6) @sec.gov>
Subject: RE: Follow up: SO pic

Or if it's too many photos to put in one collage we could do two of them?

From: Uclusin, Wilda A. (b)(6) @sec.gov>
Sent: Friday, January 21, 2022 8:58 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>
Subject: Follow up: SO pic

Good morning Ladies. Do you want this pic by itself as is?

(b)(6)

OR

Do you want it as part of a group collage? In this sample, the words slide in one at a time.

(b)(6)

From: Uclusin, Wilda A.
Sent: Thursday, January 20, 2022 3:41 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>
Subject: RE: (b)(6) PPT: Take 1

(b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, January 20, 2022 3:13 PM
To: Uclusin, Wilda A. (b)(6) @sec.gov>; Ro, Elena (b)(6) @sec.gov>
Subject: RE: (b)(6) PPT: Take 1

Thank you! I meant to get back to you about this and I'm sorry for the delay! I also found this one . . .

From: Uclusin, Wilda A. (b)(6) @sec.gov>
Sent: Thursday, January 20, 2022 3:00 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>
Subject: (b)(6) PPT: Take 1

There are couple of slides that need Remarks. Suggestions welcome, please & thank you. -W

From: Schneider, Erin
To: Snyder, Kristin A.
Subject: Re: Snyder Press Release--would love your thoughts!
Date: Monday, January 17, 2022 8:18:28 PM
Attachments: Snyder departure press release.docx

I will take a look tonight.

Sent from my iPhone

> On Jan 17, 2022, at 2:10 PM, Snyder, Kristin A. (b)(6) @sec.gov> wrote:
>
> Revised release incorporating Dan's helpful comments. Thanks!
>
> **From:** Snyder, Kristin A.
> **Sent:** Sunday, January 16, 2022 1:29 PM
> **To:** Kahl, Daniel <(b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>
> **Subject:** Snyder Press Release--would love your thoughts!
> Hi there,
> Not sure if Gary will want a quote, but I'd love your thoughts on this. I tried to keep it short and sweet. (b)(6) and have no pride of authorship here!
> Thank you! I'm going to try to get this to Scott Schneider on Tuesday, if possible.
> Thanks,
> Kristin

From: Schneider, Erin
To: Vasquez, Carlos; Winkler, Monique; Ro, Elena
Subject: RE: Social Media Q on:: PLEASE SAVE THE DATE: 7th Annual Bay Area Securities Enforcement Conference (BaySEC)
Date: Tuesday, February 15, 2022 2:07:03 PM
Attachments: image003.png

(b)(5)

From: Vasquez, Carlos <(b)(6)@sec.gov>
Sent: Tuesday, February 15, 2022 10:54 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6)@sec.gov>; Ro, Elena (b)(6)@sec.gov>
Subject: Social Media Q on:: PLEASE SAVE THE DATE: 7th Annual Bay Area Securities Enforcement Conference (BaySEC)

(b)(5)

Carlos

From: (b)(6)
Sent: Tuesday, February 15, 2022 10:33 AM
To: Vasquez, Carlos (b)(6)@sec.gov>
Subject: FW: PLEASE SAVE THE DATE: 7th Annual Bay Area Securities Enforcement Conference (BaySEC)

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.

(b)(5)

From: Securities and Exchange Commission SF BayArea Conference (b)(6) (b)(6)@SEC.GOV>
Sent: Tuesday, February 15, 2022 9:25 AM
Subject: PLEASE SAVE THE DATE: 7th Annual Bay Area Securities Enforcement Conference (BaySEC)

DFPI

PLEASE SAVE THE DATE!

7th Annual Bay Area Securities Enforcement Conference (BaySEC)

DFPI

WHEN: Tuesday, March 15, 2022 – 9:00 am to 12:30 pm

Please save the date for the 7th annual Bay Area Securities Enforcement Conference (BaySEC), which will be held virtually again this year! BaySEC is co-sponsored by the U.S. Securities and Exchange Commission's San Francisco Regional Office, the California Office of the Attorney General and the California Department of Financial Protection and Innovation in conjunction with the U.S. Attorney's Office of the Northern District of California and the San Francisco County District Attorney's Office.

As in prior years, our goal is to bring together representatives from Bay Area federal, state and local civil and criminal law enforcement agencies with jurisdiction over securities law and related financial violations, to establish connections with one another and to discuss common enforcement and regulatory concerns in a closed meeting.

Panel topics will include: Cyber and Financial Technology; Hot Topics; and Protecting Consumers and Retail Investors. Details on topics and how to register will follow soon. In the meantime, please contact Carlos Vasquez, Supervisory Counsel for Outreach and Intake in the SEC's San Francisco Regional Office, at (b)(6) ((b)(6) @sec.gov) with any questions.

We hope to see you in March!

From: Schneider, Erin
To: Mittelman, Charito; Haddad, Edward G.
Subject: RE: Speaking panel question
Date: Monday, March 21, 2022 3:41:29 PM
Attachments: image001.png

Hi Charito – do you know who is sponsoring the event (is it (b)(6) or someone else), who else is speaking, and what the targeted audience is? I know you said RIAs – but will it be advertised generally?

From: Mittelman, Charito (b)(6)@SEC.GOV>
Sent: Monday, March 21, 2022 12:21 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Haddad, Edward G. (b)(6)@sec.gov>
Subject: Speaking panel question

Hi Erin & Ed -

An (b)(6) asked if anyone at our agency could speak on a Crypto currency regulation panel aimed at RIAs as the audience. (b)(6) works for a company called (b)(6) (b)(6) the creators of some crypto ETFs. The event, which I believe is virtual, is on March 29th. I'm guessing the process for an SEC representative to speak to the public is lengthy and that there may be other layers of approval for an event like this so it probably won't work but I told (b)(6) I would ask. I'm certainly not asking if I can speak at the event, given my narrow knowledge of crypto assets, but just thought I'd check if anyone would and/or could speak at such an event? I can forward on (b)(6) contact information, or have (b)(6) reach out to either of you if it is even a possibility. I ran this by Elena first who let me know I should reach out to both of you on such a matter.

Best,
Charito

Charito A. Mittelman
Attorney-Adviser
Division of Examinations
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800 San Francisco, CA 94104
Phone (b)(6) Mobile (b)(6) |Email (b)(6)@sec.gov

www.sec.gov

SECURITIES AND EXCHANGE COMMISSION

MCMXXXIV

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: (b)(5
Date: Tuesday, March 15, 2022 6:41:28 PM

(b)(5)

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Tuesday, March 15, 2022 3:32 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(5)

(b)(5)

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6) @sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: Re: staff meeting next week
Date: Thursday, March 3, 2022 12:46:15 AM

Will do tomorrow

Sent from my iPhone

> On Mar 2, 2022, at 12:13 PM, Winkler, Monique (b)(6) @sec.gov> wrote:
>
> (b)(5)
>
> *Monique C. Winkler*
> Associate Regional Director, Enforcement
> U.S. Securities and Exchange Commission
> 44 Montgomery Street, Suite 2800
> San Francisco, California 94104-4691
> Telephone: (b)(6)
> Fax: 415.705.2500
> (b)(6) @sec.gov

From: Schneider, Erin
To: Snyder, Kristin A.; Schulman, Alice
Subject: RE: Supervisor"s narratives, FY 2021
Date: Wednesday, January 26, 2022 10:36:27 AM

Thanks so much to both of you!

From: Snyder, Kristin A. (b)(6)@sec.gov>
Sent: Tuesday, January 25, 2022 6:54 PM
To: Schulman, Alice (b)(6)@sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Supervisor's narratives, FY 2021

You are amazing! I just signed them so that my part is done!

From: Schulman, Alice (b)(6)@sec.gov>
Sent: Tuesday, January 25, 2022 6:53 PM
To: Snyder, Kristin A. (b)(6)@sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Supervisor's narratives, FY 2021

WHEW! All have been submitted in LEAP. See you tomorrow!

Alice

Alice L. Schulman, Assistant Regional Director, Examinations

United States Securities and Exchange Commission

44 Montgomery Street, Suite 2800 | San Francisco, CA 94104

Landline (b)(6) | Mobile (b)(6) Email (b)(6)@sec.gov

From: Snyder, Kristin A. (b)(6)@sec.gov>
Sent: Monday, January 24, 2022 8:50 PM
To: Schulman, Alice (b)(6)@sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>

Subject: RE: Supervisor's narratives, FY 2021

Please don't apologize. These are great! Thank you for getting them done. Please go ahead and put them into LEAP and push them to the next step. I'll be able to sign them, they will then go to HR review, and then eventually will come back to you. It's great you got them done before the February 4 deadline because now we won't have to worry about switching your supervisor in LEAP right now.

From: Schulman, Alice (b)(6) @sec.gov>
Sent: Monday, January 24, 2022 12:10 PM
To: Snyder, Kristin A. (b)(6) @sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>
Subject: Supervisor's narratives, FY 2021

My write-ups are attached, apologies for the delay. As noted below I still have to confirm the number of exams for (b)(6) . All would be (b)(6)

(b)(6)

Thanks.

Alice

Alice L. Schulman, Assistant Regional Director, Examinations

United States Securities and Exchange Commission

44 Montgomery Street, Suite 2800 | San Francisco, CA 94104

Landline (b)(6) | Mobile (b)(6) | Email (b)(6) @sec.gov

From: Schneider, Erin
To: (b)(6)
Cc: Winkler, Monique
Subject: RE: (b)(6) RE: Incoming mail
Date: Tuesday, February 1, 2022 9:37:09 PM

(b)(5)

From: (b)(6) (b)(6) @sec.gov>
Sent: Wednesday, July 28, 2021 4:43 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Winkler, Monique (b)(6) @sec.gov>
Subject: (b)(6) RE: Incoming mail

Adding (b)(6) and (b)(6)

(b)(5)

(b)(6) Enforcement
Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, CA 94104
DD: (b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, July 28, 2021 4:14 PM
To: (b)(6) (b)(6) @sec.gov>
Cc: Winkler, Monique (b)(6) @sec.gov>
Subject: FW: Incoming mail

(b)(5)

From: Schneider, Erin

Sent: Wednesday, July 28, 2021 4:13 PM
To: (b)(6) (b)(6)@sec.gov>
Cc: Winkler, Monique (b)(6)@sec.gov>; (b)(6) (b)(6)@sec.gov>
Subject: FW: Incoming mail

Hi!

I don't think it's part of an existing matter (Monique can confirm). But copying (b)(6) and Monique for TCR purposes.

From: (b)(6) (b)(6)@sec.gov>
Sent: Wednesday, July 28, 2021 3:45 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: (b)(6) (b)(6)@sec.gov>
Subject: Incoming mail

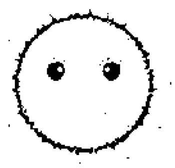
Hola!

Please let me know if this is part of a MUI or SF Matter.

Thank you, be well

(b)(6)

(b)(6)



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From: Schneider, Erin
To: Schulman, Alice
Subject: RE: (b)(6) : (b)(5)
Date: Thursday, February 17, 2022 5:09:35 PM

That's so great! Great idea, Alice!

From: Schulman, Alice <(b)(6) @sec.gov>
Sent: Thursday, February 17, 2022 2:09 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: (b)(6) : (b)(5)

I just talked to (b)(6) – this exam is tailor-made for (b)(6) and (b)(6) happy to be the second examiner. Thanks again!!

Thanks.

Alice

Alice L. Schulman, Assistant Regional Director, Examinations
United States Securities and Exchange Commission
44 Montgomery Street, Suite 2800 | San Francisco, CA 94104
Landline (b)(6) | Mobile (b)(6) | Email (b)(6) @sec.gov

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, February 17, 2022 1:19 PM
To: Schulman, Alice (b)(6) @sec.gov>
Subject: RE: (b)(6) : (b)(5)

It's fine to reach out to (b)(6) (and you should feel free to do it). Also (b)(6) is happy to be a resource if needed – feel free to teach out to (b)(6) as well!

From: Schulman, Alice <(b)(6) @sec.gov>
Sent: Thursday, February 17, 2022 12:08 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: (b)(6) : (b)(5)

Thx again

Alice

Alice L. Schulman, Assistant Regional Director, Examinations
United States Securities and Exchange Commission
44 Montgomery Street, Suite 2800 | San Francisco, CA 94104
Landline (b)(6) | Mobile (b)(6) | Email (b)(6) @sec.gov

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, February 17, 2022 11:53 AM
To: Schulman, Alice (b)(6) @sec.gov>
Subject: Re: (b)(6) (b)(5)

Ok let me check in with her

Sent from my iPhone

> On Feb 17, 2022, at 11:51 AM, Schulman, Alice (b)(6) @sec.gov> wrote:
>
> Yes, please, thanks so much. (b)(6) told me that (b)(6) now reports to (b)(6)
>
> *Alice*

Alice L. Schulman, Assistant Regional Director, Examinations
United States Securities and Exchange Commission
44 Montgomery Street, Suite 2800 San Francisco, CA 94104
Landline (b)(6) Mobile (b)(6) Email (b)(6) @sec.gov

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, February 17, 2022 11:48 AM
To: Schulman, Alice (b)(6) @sec.gov>
Subject: RE: (b)(6) : (b)(5)

Can I check in with (b)(6) and (b)(6) first? (Does (b)(6) now report to (b)(6) or to (b)(6) ?)

From: Schulman, Alice (b)(6) @sec.gov>
Sent: Thursday, February 17, 2022 11:46 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: (b)(6) (b)(5)

(b)(5)

Alice

Alice L. Schulman, Assistant Regional Director, Examinations
United States Securities and Exchange Commission
44 Montgomery Street, Suite 2800 San Francisco, CA 94104
Landline (b)(6) Mobile (b)(6) Email (b)(6) @sec.gov

From: Schulman, Alice
Sent: Wednesday, February 16, 2022 4:55 PM
To: (b)(6) (b)(6) @sec.gov>; (b)(6) (b)(6) @SEC.GOV>
Subject: FW: (b)(6) ; (b)(5)

(b)(6) - FYI - here is the email trail for the ADs' decision to take this exam. The attachments are from (b)(6) 's original, see the last email below

Thanks!
Alice

Alice L. Schulman, Assistant Regional Director, Examinations
United States Securities and Exchange Commission
44 Montgomery Street, Suite 2800 San Francisco, CA 94104
Landline (b)(6) Mobile (b)(6) Email (b)(6)@sec.gov

From: (b)(6) (b)(6)@sec.gov>
Sent: Friday, December 17, 2021 9:08 AM
To: (b)(6) (b)(6)@SEC.GOV>; Haddad, Edward G. (b)(6)@sec.gov>; Schulman, Alice (b)(6)@sec.gov>; (b)(6) (b)(6)@sec.gov> (b)(6) (b)(6) (b)(6)@sec.gov>
Cc: Snyder, Kristin A. (b)(6)@sec.gov>
Subject: RE: (b)(6): (b)(5)

Thanks. This exam will need to be opened by April 22, 2022.

From (b)(6) (b)(6)@SEC.GOV>
Sent: Friday, December 17, 2021 9:00 AM
To: (b)(6) (b)(6)@sec.gov>; Haddad, Edward G. (b)(6)@sec.gov>; Schulman, Alice (b)(6)@sec.gov>; (b)(6) (b)(6)@sec.gov>; (b)(6) (b)(6)@sec.gov>
Cc: Snyder, Kristin A. (b)(6)@sec.gov>
Subject: RE: (b)(6): (b)(5)

I agree with (b)(6) recommendation. Thanks.

From: (b)(6) (b)(6)@sec.gov>
Sent: Friday, December 17, 2021 8:57 AM
To: Haddad, Edward G. (b)(6)@sec.gov>; Schulman, Alice (b)(6)@sec.gov>; (b)(6) (b)(6)@sec.gov>; (b)(6) (b)(6)@SEC.GOV>; (b)(6) (b)(6) (b)(6)@sec.gov>
Cc: Snyder, Kristin A. (b)(6)@sec.gov>
Subject: RE: (b)(6): (b)(5)

Hi—I need a (b)(5) Thanks.

From: Haddad, Edward G. (b)(6)@sec.gov>
Sent: Tuesday, December 14, 2021 3:14 PM
To: (b)(6) (b)(6)@sec.gov>; Schulman, Alice (b)(6)@sec.gov>; (b)(6) Stephanie (b)(6)@sec.gov>; (b)(6) (b)(6)@SEC.GOV> (b)(6) (b)(6)@sec.gov>
Cc: Snyder, Kristin A. (b)(6)@sec.gov>
Subject: RE: (b)(6) (b)(5)

(b)(5)

From: (b)(6) (b)(6)@sec.gov>
Sent: Tuesday, December 14, 2021 3:00 PM

To: Haddad, Edward G. (b)(6) @sec.gov>; Schulman, Alice (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>; (b)(6) (b)(6) @SEC.GOV>; (b)(6) (b)(6) b)(6) @sec.gov>
Cc: Snyder, Kristin A. (b)(6) @sec.gov>
Subject: (b)(6) : (b)(5)

Hi All,

(b)(5)

Thanks,

(b)(6)

From: Schneider, Erin
To: Haddad, Edward G.; (b)(6) Schulman, Alice; (b)(6)
Subject: RE: (b)(6) : (b)(5)
Date: Monday, January 31, 2022 3:33:01 PM

Thanks everyone!

From: Haddad, Edward G. (b)(6) @sec.gov>
Sent: Monday, January 31, 2022 12:30 PM
To: (b)(6) (b)(6) @sec.gov>; Schulman, Alice (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>; (b)(6) (b)(6) @SEC.GOV>; (b)(6) (b)(6) @sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: (b)(6) : (b)(5)

Hi everyone –

(b)(5)

(b)(6)

From: (b)(6) (b)(6) @sec.gov>
Sent: Monday, January 31, 2022 12:05 PM
To: Haddad, Edward G. (b)(6) @sec.gov>; Schulman, Alice (b)(6) @sec.gov>; (b)(6) (b)(6) (b)(6) @sec.gov>; (b)(6) (b)(6) @SEC.GOV>; (b)(6) (b)(6) @sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(6) : (b)(5)

Hi All,

(b)(5); (b)(6)

(b)(5); (b)(6)

Thanks,

(b)(6)

From: Schneider, Erin
To: (b)(6)
Subject: RE: (b)(6) : (b)(5)
Date: Monday, January 31, 2022 4:54:56 PM

Thanks (b)(6)

From: (b)(6) (b)(6) @sec.gov>
Sent: Monday, January 31, 2022 1:53 PM
To: Schneider, Erin <SchneiderE@sec.gov>; (b)(6) (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>
Subject: RE: (b)(6) : (b)(5)

Erin-

We were going to discuss at our 8:00am meeting tomorrow but I drafted the below:

(b)(6)

(b)(5); (b)(6)

Thanks,

(b)(6)

https: (b)(5)
https:
https:

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, January 31, 2022 1:49 PM
To: (b)(6) (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>
Subject: RE: (b)(6) : (b)(5)

(b)(5)

From: (b)(6) (b)(6) @sec.gov>
Sent: Monday, January 31, 2022 12:06 PM
To: (b)(6) (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(6) (b)(5)

Hi All,

(b)(5); (b)(6)

Thanks,

(b)(6)

From:	Schneider, Erin
To:	Persson, Jill
Cc:	Vasquez, Carlos; Ro, Elena; Wilson, Stephanie
Subject:	Re: Teachers
Date:	Thursday, February 24, 2022 6:16:25 PM

Can we do the last meeting and then go from there?

Sent from my iPhone

> On Feb 24, 2022, at 3:13 PM, Persson, Jill (b)(6) @sec.gov> wrote:
>
> March 8 at 1pm
>
> **From:** Schneider, Erin <SchneiderE@sec.gov>
> **Sent:** Thursday, February 24, 2022 3:13 PM
> **To:** Persson, Jill (b)(6) @sec.gov>
> **Cc:** Vasquez, Carlos (b)(6) @sec.gov>; Ro, Elena (b)(6) @sec.gov>; Wilson, Stephanie (b)(6) @sec.gov>
> **Subject:** Re: Teachers
> When is the next meeting?
>
> Sent from my iPhone
>
> > On Feb 24, 2022, at 3:05 PM, Persson, Jill (b)(6) @sec.gov> wrote:
> >
> > Great! Thanks everyone.
> >
> > (b)(5)
> >
> > Thanks again all!!
> > -Jill
> >
> > **From:** Vasquez, Carlos (b)(6) @sec.gov>
> > **Sent:** Thursday, February 24, 2022 2:58 PM
> > **To:** Schneider, Erin <SchneiderE@sec.gov>
> > **Cc:** Ro, Elena (b)(6) @sec.gov>; Persson, Jill (b)(6) @sec.gov>; Wilson, Stephanie (b)(6) @sec.gov>
> > **Subject:** Re: Teachers
> >
> > (b)(5)

Sent from my iPhone

On Feb 24, 2022, at 2:53 PM, Schneider, Erin <SchneiderE@sec.gov> wrote:

(b)(5)

From: Ro, Elena (b)(6) @sec.gov>
Sent: Thursday, February 24, 2022 2:16 PM
To: Persson, Jill (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>; Vasquez, Carlos (b)(6) @sec.gov>
Cc: Wilson, Stephanie (b)(6) @sec.gov>
Subject: RE: Teachers

Thanks Jill! (b)(5)

(b)(5)

From: Persson, Jill (b)(6) @sec.gov>
Sent: Thursday, February 24, 2022 1:26 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Vasquez, Carlos (b)(6) @sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>; Wilson, Stephanie (b)(6) @sec.gov>
Subject: Teachers

Hello Erin and Carlos!

Thought now might be a good time to touch base on this.

Just wanted to see what you both think about this (b)(5)

(b)(5)

Thanks,

Jill

Jill C. Persson

U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800 | San Francisco, CA 94104

Phone (b)(6) | Mobile (b)(6)

U.S. Securities and Exchange Commission

From: Schneider, Erin
To: Ro, Elena; Uclusin, Wilda A.
Subject: RE: THANK YOU!!!!
Date: Wednesday, January 26, 2022 1:37:30 PM

Wilda is ALWAYS creative and thoughtful!

From: Ro, Elena (b)(6) @sec.gov>
Sent: Wednesday, January 26, 2022 10:37 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Uclusin, Wilda A. (b)(6) @sec.gov>
Subject: RE: THANK YOU!!!!

Yes Wilda, so creative and thoughtful! Thank you!

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, January 26, 2022 10:32 AM
To: Uclusin, Wilda A. (b)(6) @sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: THANK YOU!!!!

Wilda – thank you so much for putting together the powerpoint for (b)(6) I'm going to send it along to (b)(6) when I send (b)(6) the kudoboard. It didn't go off exactly as Elena had discussed given the issues with the network – but we still got to see all of the pictures! Really appreciate!

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Yvonne Gonzalez Rogers
Cc: (b)(6)
Subject: Re: Thank you!
Date: Thursday, January 27, 2022 12:21:48 AM

Agree! It's always a fun group and thank you so much, Your Honor, for moderating and to (b)(6) for organizing.

Best,
Erin

Sent from my iPhone

> On Jan 26, 2022, at 8:02 PM, Yvonne Gonzalez Rogers (b)(6) @cand.uscourts.gov> wrote:
>
> 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.
>
> Glad to collaborate with all of you!
> I certainly think they rec'd lots of info. Hard to judge engagement on Zoom!
> Hope we get to in-person at some point again!
>
> Sent from my iPad
> (b)(6)
>
>> On Jan 26, 2022, at 7:33 PM, West, Hartley <Hartley.West@dechert.com> wrote:
>>
>> **CAUTION - EXTERNAL:**
>>
>> Thank you for a tremendous panel. I have been getting numerous emails of very positive feedback – especially with what one attendee referred to as the "spiciness" at the end. I appreciate all the hard work that you put in preparing for this panel and in serving our country.
>> Best,
>> Hartley
>> **Hartley M.K. West**
>> Partner
>>
>> **Dechert LLP**
>> One Bush Street, Suite 1600, San Francisco, CA 94104

(b)(6)

633 West 5th Street, Suite 4900, Los Angeles, CA 90071

(b)(6)

hartley.west@dechert.com

http://dechert.com

From: Schneider, Erin
To: (b)(6) Best, Richard R; Gregus, Daniel
Subject: RE: Thank you
Date: Thursday, March 17, 2022 3:52:19 PM

Thank you (b)(6)

From: (b)(6) (b)(6) @SEC.GOV>
Sent: Thursday, March 17, 2022 11:55 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Best, Richard R (b)(6) @SEC.GOV>; Gregus, Daniel (b)(6) @SEC.GOV>
Subject: Thank you

All:

(b)(6)

Regards,

(b)(6)
(b)(6) | Division of Enforcement
Salt Lake Regional Office
United States Securities and Exchange Commission
351 South West Temple, Suite 6.100
Salt Lake City, Utah 84101-1950
(b)(6) | (b)(6) @sec.gov

From: Schneider, Erin
To: Walker, Robert (Scott)
Subject: RE: Thank you
Date: Wednesday, March 9, 2022 12:07:20 PM

Ha ha, ok. Thanks, now I know how to respond!

From: Walker, Robert (Scott) (b)(6) @SEC.GOV>
Sent: Wednesday, March 9, 2022 8:59 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Thank you

I gave the training to NYRO BDX. Linda Lettieri (ARD NYRO) was the coordinator for the event. I think she's just being nice with the note below.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, March 9, 2022 8:29 AM
To: Walker, Robert (Scott) (b)(6) @SEC.GOV>
Subject: FW: Thank you

Who should I direct this thank you to?

From: Lettieri, Linda A. (b)(6) @SEC.GOV>
Sent: Wednesday, March 9, 2022 8:27 AM
To: Walker, Robert (Scott) (b)(6) @SEC.GOV>
Cc: Kahl, Daniel (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>
Subject: Thank you

Thank you for conducting the recent training class on Digital Assets for the NYRO BDX program. It was an excellent opportunity for the examination staff to gain a better understanding of the most current developments related to Digital Assets and current priorities from within the agency. The presentation was extremely well organized and it is especially commendable that you took time from your busy schedule to prepare so thoroughly for the session.

Once again, thank you for your support in the continuing education of the our staff.

Warm regards,

Linda

Linda A. Lettieri
Assistant Regional Director
US Securities and Exchange Commission
New York Regional Office
(b)(6)

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: Theranos discussion at SFRO staff meeting
Date: Thursday, February 3, 2022 11:29:59 AM

No, I'll do it – this is all SFRO right?

From: Winkler, Monique (b)(6)@sec.gov>
Sent: Thursday, February 3, 2022 8:17 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: Theranos discussion at SFRO staff meeting

Do you want me to send out the save the date for this?

> **From:** Ro, Elena (b)(6)@sec.gov>
> **Sent:** Tuesday, February 1, 2022 9:50 AM
> **To:** Winkler, Monique (b)(6)@sec.gov>
> **Cc:** Schneider, Erin <SchneiderE@sec.gov>
> **Subject:** RE: Theranos discussion at SFRO staff meeting
>
> Looks good!
>
> **From:** Winkler, Monique (b)(6)@sec.gov>
> **Sent:** Tuesday, February 1, 2022 8:50 AM
> **To:** Ro, Elena (b)(6)@sec.gov>
> **Cc:** Schneider, Erin <SchneiderE@sec.gov>
> **Subject:** FW: Theranos discussion at SFRO staff meeting
>
> Does March 8 at 9:30 work for you for an SFRO staff meeting? It works me Erin, (b)(6) (who will be speaking), and me.
>
> > **From:** Schneider, Erin <SchneiderE@sec.gov>
> > **Sent:** Tuesday, February 1, 2022 8:41 AM
> > **To:** Winkler, Monique (b)(6)@sec.gov>
> > **Subject:** RE: Theranos discussion at SFRO staff meeting
> >
> > Good here!
> >
> > **From:** Winkler, Monique (b)(6)@sec.gov>
> > **Sent:** Tuesday, February 1, 2022 8:40 AM
> > **To:** Schneider, Erin <SchneiderE@sec.gov>
> > **Subject:** FW: Theranos discussion at SFRO staff meeting
> >
> > How about March 8 at 9:30? It looks like you, Elena, (b)(6) and I are available, but if it works for you I will ask (b)(6) ((b) is out the prior week).
> >
> > > **From:** (b)(6) (b)(6)@SEC.GOV>
> > > **Sent:** Monday, January 31, 2022 2:44 PM
> > > **To:** Winkler, Monique (b)(6)@sec.gov>
> > > **Subject:** RE: Theranos discussion at SFRO staff meeting
> > >
> > > Yes, that works for me. Just let me know what you have in mind. Thanks.
> > > (b)(6)
> > >
> > > **From:** Winkler, Monique (b)(6)@sec.gov>
> > > **Sent:** Monday, January 31, 2022 2:29 PM
> > > **To:** (b)(6) (b)(6)@SEC.GOV>

Subject: Theranos discussion at SFRO staff meeting

Would 2/17 at 9:30 work for you?

Monique C. Winkler
Associate Regional Director, Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104-4691
Telephone: (b)(6)
Fax: 415.705.2500
(b)(6)@sec.gov

From: Schneider, Erin
To: Uclusin, Wilda A.
Subject: RE: Tidbits
Date: Friday, March 25, 2022 5:45:36 PM

(b)(6)

From: Uclusin, Wilda A. (b)(6)@sec.gov>
Sent: Thursday, March 24, 2022 1:47 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Tidbits

Hi Erin, (b)(6)
and
Can you confirm the address that you prefer to receive packages (free from pesky porch pirates & the like)?

From: Schneider, Erin
To: Greiner, Natasha (Vij)
Cc: Budd, Sue
Subject: RE: Time and Attendance Tetris :)
Date: Monday, January 31, 2022 1:50:37 PM

Thanks. Sue – does SFRO need to release these folks from Kristin's queue or can you move them on your own?

From: Greiner, Natasha (Vij) (b)(6) @SEC.GOV>
Sent: Monday, January 31, 2022 10:46 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: Time and Attendance Tetris :)

Fyi – see email below – (b)(6) said (b)(6) would make the changes in WebTA after payroll is done this week. I'm not sure if you have to release them so (b)(6) can reassign each of the employees. but can check with (b)(6).

From: Budd, Sue (b)(6) @SEC.GOV>
Sent: Thursday, January 27, 2022 5:47 PM
To: Snyder, Kristin A. (b)(6) @sec.gov>; Koretke, Charles (b)(6) @SEC.GOV>
Cc: Thompson, Joy G. (b)(6) @SEC.gov>; Greiner, Natasha (Vij) (b)(6) @SEC.GOV>; Gandy, Marshall (b)(6) @SEC.GOV>; Kahl, Daniel (b)(6) @SEC.GOV>
Subject: RE: Time and Attendance Tetris :)

Hi – Just checking in to see if there are any modifications to Kristin's recommendations. We'll move everyone on Wednesday after payroll is completed.

Sue Budd (b)(6) @sec.gov | (b)(6)
Division of Examinations | U.S. Securities and Exchange Commission

From: Snyder, Kristin A. (b)(6) @sec.gov>
Sent: Tuesday, January 25, 2022 1:40 AM
To: Budd, Sue (b)(6) @SEC.GOV>; Koretke, Charles (b)(6) @SEC.GOV>
Cc: Thompson, Joy G. (b)(6) @SEC.gov>; Greiner, Natasha (Vij) (b)(6) @SEC.GOV>; Gandy, Marshall (b)(6) @SEC.GOV>; Kahl, Daniel (b)(6) @SEC.GOV>
Subject: Time and Attendance Tetris :)

Hi All:

I just wanted to flag the employees that I have in my queue for time and attendance purposes who will need to be reassigned after I leave. I will be able to certify time for this pay period so the changes can be made next week. I've included who I have in my webTA queue, and where I think they should go. ☺ Hopefully this helps, and (b)(6) Joy (b)(6) if I have any of this wrong, please let me know. Thank you!

(b)(5)

(b)(5)

From: Schneider, Erin
To: Schulman, Alice; (b)(6)
Subject: RE: Timely Exam Closing - Time Sensitive Request
Date: Monday, January 31, 2022 5:45:05 PM

Thanks so much Alice and (b)([illegible] have any questions.

From: Schulman, Alice (b)(6) @sec.gov>
Sent: Monday, January 31, 2022 1:58 PM
To: Schneider, Erin <SchneiderE@sec.gov>; (b)(6) (b)(6) @sec.gov>
Subject: Fwd: Timely Exam Closing - Time Sensitive Request

(b)(6 thanks for the quick response.
Erin - FYI. Let us know if you any questions about this.

Thanks.
Alice
(b)(6)

Begin forwarded message:

> **From:** (b)(6) (b)(6) @sec.gov>
> **Date:** January 31, 2022 at 1:39:26 PM PST
> **To:** EXAMS Compliance (b)(6) @sec.gov>, "Schulman, Alice" (b)(6) @sec.gov>
> **Subject: RE: Timely Exam Closing - Time Sensitive Request**
>
> [illegible]
>
> (b)(5)
>
> Best,
>
> (b)(6)
>
> San Francisco Regional Office
>
> (b)(6)
>
> ---
>
> **From:** EXAMS Compliance (b)(6) @sec.gov>
> **Sent:** Monday, January 31, 2022 12:42 PM
> **To:** Schulman, Alice (b)(6) @sec.gov>; (b)(6) (b)(6) @sec.gov>
> **Subject:** Timely Exam Closing - Time Sensitive Request
>
> Hi Alice/(b)(
>
> (b)(5)

From: Schneider, Erin
To: Winkler, Monique; Ro, Elena
Subject: RE: Tomorrow
Date: Wednesday, February 2, 2022 8:07:15 PM

Ha ha good luck

-----Original Message-----
From: Winkler, Monique (b)(6) @sec.gov>
Sent: Wednesday, February 2, 2022 5:06 PM
To: Ro, Elena (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>
Subject: Tomorrow

As of right now I am planning to be in the office tomorrow (via (b)(6)).

From: Schneider, Erin
To: Kahl, Daniel
Cc: Thompson, Joy G.
Subject: RE: Town Hall - Order of Events
Date: Wednesday, March 2, 2022 2:00:57 PM

I can't get on as a panelist

From: Kahl, Daniel (b)(6) @SEC.GOV>
Sent: Wednesday, March 2, 2022 10:57 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Thompson, Joy G. (b)(6) @SEC.gov>
Subject: FW: Town Hall - Order of Events
Erin, am I turning it over to you or Joy/Kristin first? Thanks

From: Koretke, Charles (b)(6) @SEC.GOV>
Sent: Wednesday, March 2, 2022 1:43 PM
To: Kahl, Daniel (b)(6) @SEC.GOV>; Thompson, Joy G. (b)(6) @SEC.gov>; Schneider, Erin <SchneiderE@sec.gov>; McCarthy, Jennifer (b)(6) @sec.gov>; Mulligan, Christopher (b)(6) @SEC.GOV>; Greiner, Natasha (Vij) (b)(6) @SEC.GOV>; Reese, James R. (b)(6) @sec.gov>; Cassidy, Keith (b)(6) @SEC.GOV>; Polise, John S. (b)(6) @SEC.GOV>; Goodman, Kevin W. (b)(6) @sec.gov>; Caballes, Lourdes D. (b)(6) @SEC.GOV>; Bruno, Candice (b)(6) @SEC.GOV>
Subject: Town Hall - Order of Events

1. (b)(6) velcomes attendees to the meeting, lets them know we are going to cover news about a few personnel related items and then have an exam presentation

2. (b)(6) shares news about Erin's departure. Erin, Kristin Snyder and Joy invited to share **brief** reflections on Erin's time at SEC

3. (b)(6) shares his news about his own departure. (b)(6) invites Kristin, (b)(6), (b)(6) (b)(6), Joy and (b)(6) to give **brief** reflections.

   <Kristin drops off WebEx>

4. (b)(6) hares news about (b)(6) being named to permanent Co-National Associate

5. Other Director updates, if any.

6. (b)(6); (b)(8)
   (b)(6); (b)(8)

7. Program head updates.

   IAIC – (b)(6)

   BDX –

   FSIO –

TCP - (b)(6)

OCS

ORS

OM

OCC - If time permits - (b)(6) gives presentation on Private Funds risk alert otherwise skip until next month

(b)(6) will not be on the meeting.

Chuck Koretke
Managing Executive
Division of Examinations
(b)(6)

From: Schneider, Erin
To: Huchro, Brian
Cc: Ro, Elena
Subject: RE: Town Hall with Commissioner Peirce and her counsel, Coy Garrison
Date: Monday, February 14, 2022 6:38:53 PM

Thanks Brian – appreciate. No need to come into 2910 – attending virtually is perfect!

From: Huchro, Brian (b)(6) @SEC.GOV>
Sent: Monday, February 14, 2022 3:29 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Town Hall with Commissioner Peirce and her counsel, Coy Garrison
Hi Erin,
I plan to be in the office tomorrow. If it is helpful to have an additional ENF staffer in the room tomorrow, please let know. Otherwise, I'll "see" you on WebEx tomorrow.
Thanks.
-----Original Appointment-----
From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, February 1, 2022 2:22 PM
To: Schneider, Erin; #SFRO\EVERYONE
Cc: Finley, Theis; Jackson, Teresa M.; Winkler, Monique; Kim, Cherrie; Hong, Victor W.; Johnston, Janet L.; Yu, Benjamin; Marchi, James J.; Quintanilla, Silvana; Roeseler, Karl J.; Austin, Horace; Darfler, Brad; Ro, Elena; Oliver, Aminah M; Tomars, Michael; Filipp, Chrissy; Lyttle, Jeffrey A.; OCallaghan, Sheila E.; Meyerhofer, Matthew G; Hefty, Andrew; Purcell, Kathleen; Hauger, Craig W.; Kerr, Ainsley; Wolz, Steven R.; (b)(6) Bukowski, Janet L.; Boodoo, Crystal; Chee, Ada C.; Lee, Jennifer J.; Donohue, Mark J.; Varholik, Steven; Lawson, Cheryl M.; O'Toole, Matthew M.; Linvill, Michael H.; Hawley, Ruth L; Moodie, Marilyn; Ta, Thu Bao; Vasquez, Carlos; Hurtado, Arturo; Kim, Sallie; SFRO-Reception-Desk; Stearns, John; Huchro, Brian; Fleet, Katherine A; Brannon, Nadia P; Ivanchenko, Roman; Schulman, Alice; Schihl, Michael; Zuberi, Madiha; Pease, Eric; Clark, Raymond; Zundel, Jennet; Moreno, Anthony; Mittelman, Charito; To, Karah; Andrews, Robin; Davis, Tracy L.; Zhen, Jerry; Diep, Janny; Zhou, David; Dutton, Thomas J.; Hellman, Leonard E; Marlow, Heather E.; Eme, Thomas J.; Gould, Erica R.; Flanders, Ricky; Garrison, Charles
Subject: Town Hall with Commissioner Peirce and her counsel, Coy Garrison
When: Tuesday, February 15, 2022 9:30 AM-10:30 AM (UTC-08:00) Pacific Time (US & Canada).
Where: UPDATED -- 2910 -- and WebEx Below

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(b)(6)

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Meeting password: (b)(6) from phones and video systems)

Tap to join from a mobile device (attendees only)

(b)(6) USA Toll 2
US Toll

Some mobile devices may ask attendees to enter a numeric password.

Join by phone

(b)(6) USA Toll 2
US Toll

Global call-in numbers

Join from a video system or application

Dial (b)(6)

Join using Microsoft Lync or Microsoft Skype for Business

Dial (b)(6)

If you are a host, click here to view host information.

Need help? Go to https://help.webex.com

From: Schneider, Erin
To: Lyttle, Jeffrey A.
Cc: Ro, Elena
Subject: RE: Town Hall with Commissioner Peirce
Date: Monday, February 14, 2022 1:17:17 PM

Thanks Jeff. We do have room – so you are welcome to attend in person.

From: Lyttle, Jeffrey A. (b)(6) @sec.gov>
Sent: Monday, February 14, 2022 9:13 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: RE: Town Hall with Commissioner Peirce

Thanks. I would like to attend in person. If crowd size become an issue I am happy to go back to my office.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, February 14, 2022 9:06 AM
To: Lyttle, Jeffrey A. (b)(6) @sec.gov>
Cc: Ro, Elena (b)(6) @sec.gov>
Subject: RE: Town Hall with Commissioner Peirce

Hi Jeff – I'm copying Elena on this. Honestly I have no hopes. I really want folks to do what is comfortable for them (I've already warned Commissioner Peirce that there may be very little (if any) live participation.

I plan to be in the room, as well as Elena and Monique. One ENF staff and one EXAMs staff have asked to attend live. We can probably accommodate a few more people (but not much more – it's in (b)(6) and obviously we need people to be spaced out).

I've tried to make clear in my emails that I want people to attend however they feel most comfortable with. I am perfectly comfortable if no one shows up live – but also happy to try to accommodate anyone who does want to show up live.

Does that help? Let me know if you want to chat further.

From: Lyttle, Jeffrey A. (b)(6) @sec.gov>
Sent: Monday, February 14, 2022 8:55 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Town Hall with Commissioner Peirce

Hi Erin –

For those of us who will be in the office tomorrow, do we attend virtually or were you hoping for some live attendance?

Jeff

Jeffrey A. Lyttle
Senior Examiner
Broker-Dealer Examinations | San Francisco Regional Office | U.S. Securities and Exchange Commission | 44 Montgomery Street, San Francisco, CA 94104 | Office (b)(6) | Cell (b)(6)
(b)(6)

From:	Schneider, Erin
To:	Ro, Elena
Subject:	RE: Town Hall with Comm"r Peirce
Date:	Monday, February 14, 2022 1:00:48 PM

Sorry I think we crossed emails. Will do so now.

From: Ro, Elena (b)(6) @sec.gov>
Sent: Monday, February 14, 2022 9:18 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: Town Hall with Comm'r Peirce

Hey there – did you have a chance to email Chrissy back yet? I did not see anything. I already told Brienne yes.

From: Filipp, Chrissy <(b)(6) @SEC.GOV>
Sent: Friday, February 11, 2022 9:15 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(6) @sec.gov>
Subject: Town Hall with Comm'r Peirce

Hi Erin and Elena,

Hope your Friday is going well! I was wondering if I could join the town hall in person at SFRO on Tuesday—do we have any seats open? If it's better to stay home for COVID concerns, I understand.

Thank you,

Chrissy

Chrissy Filipp
Senior Counsel, Division of Enforcement
U.S. Securities and Exchange Commission
44 Montgomery Street, 28th Floor
San Francisco, CA 94104
O: (b)(6)
F: 415-705-2501
(b)(6) @sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: transition list
Date: Monday, March 14, 2022 2:35:36 PM

I'll put that on as well

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Monday, March 14, 2022 11:30 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: transition list

I don't think I saw the call below on your transition list?

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, March 1, 2022 9:33 AM
To: Peavler, David L. (b)(6) @SEC.GOV>; Winkler, Monique (b)(6) @sec.gov>
Subject: RE: (b)(7)(A)

(b)(5)

From: Peavler, David L. (b)(6) @SEC.GOV>
Sent: Tuesday, March 1, 2022 9:10 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6) @sec.gov>
Subject: (b)(7)(A)

Erin and Monique,

(b)(5)

David

(b)(6)

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: (b)(5)
Date: Friday, February 4, 2022 5:52:52 PM

I have no words.

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Friday, February 4, 2022 2:49 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Fwd: (b)(5)
Seriously bold

Begin forwarded message:

> **From:** "Winkler, Monique" (b)(6) @sec.gov>
> **Date:** February 4, 2022 at 2:40:14 PM PST
> **To:** '(b)(6) (b)(6) @sec.gov>
> **Subject: Re:** (b)(5)
>
> Am I missing the SFRO connection?
>
> > On Feb 4, 2022, at 1:48 PM, (b)(6) b)(6) @sec.gov> wrote:
> >
> > Hi Monique,
> >
> > (b)(5)
> >
> > (b)(6)

From: Schneider, Erin
To: Ta, Thu Bao
Subject: RE: Ugh
Date: Wednesday, January 5, 2022 6:35:44 PM

Trust me, I know! I definitely want to help make sure this is as easy as possible on everyone.

From: Ta, Thu Bao (b)(6) @SEC.GOV>
Sent: Wednesday, January 5, 2022 2:43 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Ugh

Thanks, Erin. (b)(6)
(b)(6) for sure. Looking forward to our discussion.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, January 5, 2022 2:08 PM
To: Haddad, Edward G. (b)(6) @sec.gov>; Wilson, Stephanie (b)(6) @sec.gov>; Schulman, Alice (b)(6) @sec.gov>; Ta, Thu Bao (b)(6) @SEC.GOV>; Tomars, Michael (b)(6) @sec.gov>
Subject: Ugh

So . . . . . that was terrible. (b)(6)
I think we're going to try and get the posting up for (b)(6) position as soon as we're able. It's something that obviously requires a lot of thought so I'd love to get your collective thoughts on what you want to see in the new Associate. Culture is so important for San Francisco and I think especially so for the Exam program so I want all of your input. I'll put something on the calendar for us to discuss -- maybe next week or the week after (to give us all time to grieve!). And of course feel free to reach out to me directly if you prefer to chat one on one.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: Upcoming Quarterly Reviews
Date: Monday, March 7, 2022 6:43:27 PM

Thanks!

From: Winkler, Monique (b)(6)@sec.gov>
Sent: Monday, March 7, 2022 3:41 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: Upcoming Quarterly Reviews
Here are the reports FYI.

> **From:** Oliver, Aminah M (b)(6)@SEC.GOV>
> **Sent:** Monday, March 7, 2022 3:22 PM
> **To:** Winkler, Monique (b)(6)@sec.gov>
> **Subject:** RE: Upcoming Quarterly Reviews
> Please find the (2) reports attached. Please let me know if you need anything else. Thank you!
> Aminah M. Oliver
> Case Management Specialist
> United States Securities & Exchange Commission
> 44 Montgomery Street, Suite 2800
> San Francisco, California 94104
> (b)(6)
> (b)(6)@sec.gov
>
> **From:** Winkler, Monique (b)(6)@sec.gov>
> **Sent:** Monday, March 7, 2022 2:57 PM
> **To:** Oliver, Aminah M (b)(6)@SEC.GOV>
> **Subject:** RE: Upcoming Quarterly Reviews
> **Importance:** High
> Would you run these one more time? I updated some dates. Thank you!
>
>> **From:** Oliver, Aminah M (b)(6)@SEC.GOV>
>> **Sent:** Monday, March 7, 2022 11:28 AM
>> **To:** Winkler, Monique (b)(6)@sec.gov>
>> **Subject:** RE: Upcoming Quarterly Reviews
>> Hello Monique,
>> Please find attached the PDF Quarterly Review Detail Report. I have also provided a version that includes the Executive Summary as well.
>> Thank you,
>> **Aminah M. Oliver**
>> Case Management Specialist
>> United States Securities & Exchange Commission
>> 44 Montgomery Street, Suite 2800
>> San Francisco, California 94104
>> (b)(6)
>> (b)(6)@sec.gov
>>
>> **From:** Winkler, Monique (b)(6)@sec.gov>
>> **Sent:** Monday, March 7, 2022 7:22 AM

To: Oliver, Aminah M (b)(6) @SEC.GOV>
Subject: Fwd: Upcoming Quarterly Reviews
Hi Aminah,
Would you run the PDF Quarterly Review Detail Report for me? Thanks!
Monique
Sent from my iPhone

Begin forwarded message:

> **From:** "Koski, Philip C." (b)(6) @sec.gov>
> **Date:** March 7, 2022 at 7:19:05 AM PST
> **To:** "Winkler, Monique" (b)(6) @sec.gov>
> **Subject: RE: Upcoming Quarterly Reviews**
>
> Hey Monique-
>
> (b)(5)
>
> **From:** Winkler, Monique (b)(6) @sec.gov>
> **Sent:** Monday, March 07, 2022 10:04 AM
> **To:** Koski, Philip C. (b)(6) @SEC.gov>
> **Subject:** Fwd: Upcoming Quarterly Reviews
> Hi Phil,
> Do you know what report folks are asking their CMS to run to get what the FO wants for quarterly reviews? Thanks!
> Monique
>
> Begin forwarded message:
>
>> **From:** "Wood, Zachary" (b)(6) @sec.gov>
>> **Date:** February 11, 2022 at 8:13:52 AM PST
>> **To:** #ENF Senior Staff (b)(6) @sec.gov>
>> **Subject: Upcoming Quarterly Reviews**

Good morning all – as a follow-up to the discussion at yesterday's SO meeting, we wanted to give you some guidance on how to prepare for your upcoming quarterly reviews with Gurbir and Sanjay. Ideally, we would get one report that tells us what was in the pipeline for FY 22, Q1 and Q2, which Q1 and Q2 matters have been filed and what remains, and what is in the pipeline for Q3. We also ask that you try to get these in to us two days before your review. Feel free to use whatever format works best for you.

If you need help collecting any of this information, please reach out to CMS, HUB User Support, or contact me and we'll help however we can.

Thank you for your help! –ZW

From: Schneider, Erin
To: O''Toole, Matthew M.; Schulman, Alice; Haddad, Edward G.; Ta, Thu Bao; Tomars, Michael; Wilson, Stephanie
Subject: RE: Updated Reg Counsel Agenda - 2/17 1pm EST
Date: Thursday, February 17, 2022 8:05:31 PM

Thank you Matt! Would you be willing to give one last Reg Counsel update during the staff meeting? (b)(5) I'm going to try to send around a draft agenda for the staff meeting tomorrow.

From: O'Toole, Matthew M. (b)(6)@sec.gov>
Sent: Thursday, February 17, 2022 4:59 PM
To: Schulman, Alice (b)(6)@sec.gov>; Haddad, Edward G. (b)(6)@sec.gov>; Ta, Thu Bao (b)(6)@SEC.GOV>; Tomars, Michael (b)(6)@sec.gov>; Wilson, Stephanie (b)(6)@sec.gov>
Cc: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: Updated Reg Counsel Agenda - 2/17 1pm EST

(b)(5); (b)(6)

As always, feel free to ask me any questions on any of these agenda items below, and I'll do my best to answer them and give you some additional context if you're interested.
Erin—I'm just cc:ing you as an FYI. Please let me know if you have any questions on any of these items.

Agenda

(b)(5)

(b)(5)

Lastly, Thu has graciously agreed to join this call next month in my absence. Thanks Thu!

I hope you've found my summaries of this call over all these years helpful.

Thanks,
Matt

Thank you,

Matthew M. O'Toole, Esq.
Senior Special Counsel (Regulatory Counsel)--Division of Examinations
U.S. Securities and Exchange Commission
San Francisco Regional Office
44 Montgomery St. Suite 2800
San Francisco, CA 94104
(b)(6) (phone)
(fax)

From: Pflaum, Elizabeth (b)(6) @SEC.GOV>
Sent: Thursday, February 17, 2022 6:14 AM
To: #EXAMS Regulatory Counsel (b)(6) @SEC.GOV>
Cc: Feld, Katherine P. (b)(6) @SEC.GOV>; Kessel, Jamie (b)(6) @SEC.GOV>; Meinertzhagen, Nicole D. (b)(6) @SEC.GOV>

Subject: Updated Reg Counsel Agenda - 2/17 1pm EST

Agenda

(b)(5)

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Some mobile devices may ask attendees to enter a numeric meeting password.

Join by phone

(b)(6) USA Toll 2
US Toll

Global call-in numbers

Join from a video system or application

Dial (b)(6)

Join using Microsoft Lync or Microsoft Skype for Business

Dial (b)(6)

If you are a host, click here to view host information.

Need help? Go to https://help.webex.com

From: Schneider, Erin
To: Kolhatkar, Rahul; Filipp, Chrissy; Kim, Sallie; Zhou, David
Cc: Lee, Mark; Ro, Elena
Subject: RE: Updated SEC Scholars timelines
Date: Wednesday, January 5, 2022 7:22:43 PM
Attachments: image001.png

(b)(5)

From: Kolhatkar, Rahul <(b)(6)@SEC.GOV>
Sent: Wednesday, January 5, 2022 4:12 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Lee, Mark (b)(6)@SEC.GOV>; Ro, Elena (b)(@sec.gov>; Haddad, Edward G. (b)(6)@sec.gov>; Tomars, Michael (b)(6)@sec.gov>; Chee, Ada C. (b)(6)@sec.gov>; Glukhovsky, Vadim (b)(6)@SEC.GOV>; Filipp, Chrissy (b)(6)@SEC.GOV>; Mittelman, Charito (b)(6)@SEC.GOV>; Kim, Sallie (b)(6)@SEC.GOV>; Zhou, David (b)(6)@SEC.GOV>
Subject: RE: Updated SEC Scholars timelines

(b)(5)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Wednesday, January 5, 2022 4:00 PM
To: Lee, Mark (b)(6)@SEC.GOV>; Ro, Elena (b)(@sec.gov>; Haddad, Edward G. (b)(6)@sec.gov>; Tomars, Michael (b)(6)@sec.gov>; Chee, Ada C. (b)(6)@sec.gov>; Glukhovsky, Vadim (b)(6)@SEC.GOV>; Filipp, Chrissy (b)(6)@SEC.GOV>; Mittelman, Charito (b)(6)@SEC.GOV>; Kim, Sallie (b)(6)@SEC.GOV>; Kolhatkar, Rahul (b)(6)@SEC.GOV>; Zhou, David (b)(6)@SEC.GOV>
Subject: RE: Updated SEC Scholars timelines

Thanks so much Mark! (b)(5)
(b)(5)

From: Lee, Mark (b)(6)@SEC.GOV>
Sent: Wednesday, January 5, 2022 3:57 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Ro, Elena (b)(@sec.gov>; Haddad, Edward G. (b)(6)@sec.gov>; Tomars, Michael (b)(6)@sec.gov>; Chee, Ada C. (b)(6)@sec.gov>; Glukhovsky, Vadim (b)(6)@SEC.GOV>; Filipp, Chrissy (b)(6)@SEC.GOV>; Mittelman, Charito (b)(6)@SEC.GOV>; Kim, Sallie (b)(6)@SEC.GOV>; Kolhatkar, Rahul (b)(6)@SEC.GOV>; Zhou, David (b)(6)@SEC.GOV>
Subject: FW: Updated SEC Scholars timelines

Hi SFRO Student Enforcement Legal and Exam Legal and Business Intern Committees,

(b)(5)

(b)(5)

Timeline of Events

Activity	1L/Business	2L
Non-Vet Cert issued	1/18/2022	12/15/2021
D/O submits their rankings to OHR and the name of their representative	~~1/28/2022~~ **~~2/4/2022~~** **2/8/2022**	~~12/30/2021~~ **~~1/5/2022~~** **1/12/2022**
OHR reviews and identifies obvious assignments and preparing for centralized panel meeting	~~2/8/2022~~ **2/14/2022**	~~1/5/2022~~ **~~1/10/2022~~** **1/18/2022**
Centralized panels meets and selections are due to OHR via email for Regional Offices	~~2/9/2022~~ **2/15/2022**	~~1/11/2022~~ **~~1/18/2022~~** **1/20/2022**
SARFs submitted by	~~2/15/2022~~ **2/18/2022**	~~1/14/2022~~ **1/24/2022**
Non-Veteran Offers	2/25/2022	1/28/2022
Orientation for Summer 2022	5/23/2022	5/23/2022

- **All due dates are set in stone. There will not be any extensions.**
- **1L/Business dates might be adjusted**

(b)(5)

Regards,
Mark W. Lee
Supervisory Program Support Specialist
United States Securities & Exchange Commission
San Francisco Regional Office
44 Montgomery Street, Suite 2800
San Francisco, CA 94104
phone: (b)(6)
email: (b)(6)@sec.gov

From: Students (b)(6) @SEC.GOV>
Sent: Wednesday, December 29, 2021 2:20 PM
To: #Scholars-Legal-Admin (b)(6) @SEC.GOV>; #Scholars-Bus-Admin (b)(6) @SEC.GOV>
Subject: Updated SEC Scholars timelines

Hi everyone,
Thanks for your patience. Listed below is the updated SEC Scholars timeline of events for our SEC Scholars program.

7

Timeline of Events

Activity	1L/Business	2L
Non-Vet Cert issued	1/18/2022	12/15/2021
D/O submits their rankings to OHR and the name of their representative	~~1/28/2022~~ ~~**2/4/2022**~~ **2/8/2022**	~~12/30/2021~~ ~~**1/5/2022**~~ **1/12/2022**
OHR reviews and identifies obvious assignments and preparing for centralized panel meeting	~~2/8/2022~~ **2/14/2022**	~~1/5/2022~~ ~~**1/10/2022**~~ **1/18/2022**
Centralized panels meets and selections are due to OHR via email for Regional Offices	~~2/9/2022~~ **2/15/2022**	~~1/11/2022~~ **1/18/2022** **1/20/2022**
SARFs submitted by	~~2/15/2022~~ **2/18/2022**	~~1/14/2022~~ **1/24/2022**
Non-Veteran Offers	2/25/2022	1/28/2022
Orientation for Summer 2022	5/23/2022	5/23/2022

- **All due dates are set in stone. There will not be any extensions.**
- **1L/Business dates might be adjusted**

U.S. Securities and Exchange Commission | Office of Human Resources | Human Capital Strategy Group

As always, let us know if you have any questions or concerns.
Regards,
SEC Scholars Program Team!

From: Schneider, Erin
To: Best, Richard R
Subject: RE: Updates for Today"s Monthly Meeting with the Chair
Date: Monday, March 14, 2022 1:24:41 PM

SFRO has its 7th annual Bay Area Securities ENF Conference tomorrow which brings together federal, state and local law enforcement and regulatory partners to discuss current issues

From: Best, Richard R (b)(6) @SEC.GOV>
Sent: Monday, March 14, 2022 4:46 AM
To: Beard, Tanya G. <(b)(6) @SEC.GOV>; Best, Richard R (b)(6) @SEC.GOV>; Bustillo, Eric I. (b)(6) @SEC.GOV>; Gottschall, Kurt L. (b)(6) @SEC.GOV>; Gregus, Daniel (b)(6) @SEC.GOV>; Jones, Nekia (b)(6) @SEC.GOV>; Layne, Michele W. (b)(6) @sec.gov>; Levenson, Paul (b)(6) @SEC.GOV>; Peavler, David L. (b)(6) @SEC.GOV>; Schneider, Erin <SchneiderE@sec.gov>; Thompson, Joy G. <(b)(6) @SEC.gov>; Thompson, Scott A. (b)(6) @sec.gov>
Subject: Updates for Today's Monthly Meeting with the Chair

Hi all,
I believe it is my turn to report on behalf of the regions at the Chair's monthly meeting today.
Please send me any information you want me highlight about your office.
Thanks.
Rich

From: Schneider, Erin
To: Persson, Jill; Pendrey, Jeremy; Marlow, Heather E.
Subject: RE: Updating teacher retirement bulletin
Date: Thursday, February 17, 2022 6:56:27 PM

I know!

From: Persson, Jill (b)(6) @sec.gov>
Sent: Thursday, February 17, 2022 3:56 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Pendrey, Jeremy (b)(6) @sec.gov>; Marlow, Heather E. (b)(6) @sec.gov>
Subject: RE: Updating teacher retirement bulletin

Super excited about another case!!!!

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, February 17, 2022 3:54 PM
To: Persson, Jill (b)(6) @sec.gov>; Pendrey, Jeremy (b)(6) @sec.gov>; Marlow, Heather E. (b)(6) @sec.gov>
Subject: RE: Updating teacher retirement bulletin

THANK YOU!!!!!!!!

From: Persson, Jill (b)(6) @sec.gov>
Sent: Thursday, February 17, 2022 2:51 PM
To: Pendrey, Jeremy (b)(6) @sec.gov>; Schneider, Erin <SchneiderE@sec.gov>; Marlow, Heather E. (b)(6) @sec.gov>
Subject: RE: Updating teacher retirement bulletin

Comments attached. Did a couple outside of redline. Please let me know if you would like me to put these in an email.

From: Pendrey, Jeremy (b)(6) @sec.gov>
Sent: Thursday, February 17, 2022 2:40 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Marlow, Heather E. (b)(6) @sec.gov>
Cc: Persson, Jill (b)(6) @sec.gov>
Subject: RE: Updating teacher retirement bulletin

Attaching the doc for Jill

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Thursday, February 17, 2022 2:39 PM
To: Pendrey, Jeremy (b)(6) @sec.gov>; Marlow, Heather E. (b)(6) @sec.gov>
Cc: Persson, Jill (b)(6) @sec.gov>
Subject: RE: Updating teacher retirement bulletin

(b)(5)

From: Pendrey, Jeremy (b)(6) @sec.gov>
Sent: Thursday, February 17, 2022 2:36 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Marlow, Heather E. (b)(6) @sec.gov>
Subject: FW: Updating teacher retirement bulletin

(b)(5)

From: Yoshinari, Holly (b)(6) @SEC.GOV>
Sent: Monday, February 14, 2022 12:12 PM
To: Schneider, Erin <SchneiderE@sec.gov>; Pendrey, Jeremy (b)(6) @sec.gov>; Marlow, Heather E. (b)(6) @sec.gov>; Ellis, Michael C (b)(6) @SEC.GOV>; Kim, Hane (b)(6) @SEC.GOV>
Cc: Donley, Owen (b)(6) @SEC.GOV>; Meeks, Vanessa M. (b)(6) @SEC.GOV>; Thompson, Kate (b)(6) @SEC.GOV>
Subject: Updating teacher retirement bulletin

Hi All,

(b)(5)

Thank you in advance,

Holly Yoshinari
Senior Counsel
Office of Chief Counsel | Office of Investor Education and Advocacy
U.S. Securities and Exchange Commission
100 F Street NE, Washington, DC 20549
(b)(6) @sec.gov (e-mail) | (b)(6) (phone)
Visit us at Investor.gov. Follow us on Twitter @SEC_Investor_Ed.

From: Schneider, Erin
To: (b)(6)
Subject: RE: UPS Update: Package Delivered
Date: Thursday, March 17, 2022 7:43:18 PM

Okay!

From: (b)(6) (b)(6)@sec.gov>
Sent: Thursday, March 17, 2022 4:40 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: UPS Update: Package Delivered

Please don't open yet!

From: UPS <pkginfo@ups.com>
Sent: Thursday, March 17, 2022 4:34 PM
To (b)(6) (b)(6)@sec.gov>
Subject: UPS Update: Package Delivered

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,

Your package was delivered.

From **NEW DIMENSION, INC**

Delivered

Thursday 03/17/2022 4:32 PM

Track Your Package ›

Report Loss or Damage

UPS Ground

(b)(6)

From: Schneider, Erin
To: (b)(6)
Cc: Winkler, Monique
Subject: RE: Views from the Top 2022 Webinar - and UC Hastings CBL programs Spring "22
Date: Thursday, February 3, 2022 7:46:23 PM

Hi (b)(6) – thanks for reaching out! I'm copying Monique Winkler, our Head of ENF, on this (whom you've met!) as she has the best intel on when would be good for (b)(6) , the staff attorney who investigated the App Annie matter to come and speak.
Re the crypto panel in Sacramento – will you get back in touch with me and Monique when it firms up a bit in terms of who will be coming/speaking and then we can see if can find an appropriate SEC speaker?
Thanks,
Erin

From: (b)(6) @uchastings.edu>
Sent: Thursday, January 27, 2022 10:20 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Views from the Top 2022 Webinar - and UC Hastings CBL programs Spring '22

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 Erin,
I was watching the 'Views from the Top 2022' Webinar yesterday and was happy to hear your shout out to UC Hastings (on attending our event a few months ago and hearing about how mainstream crypto is becoming with investment advisors) when the judge asked about your opinion on crypto! I thought it was a very informative webinar yesterday.
Which made me think that we should touch base again on CBL programs this Spring.
Next week we'll be back with in-person teaching (all January was virtual, I think following SF Covid guidelines) and the idea is to host new programs/events on campus again.

1. If you recall, we had talked about hosting a **CBL Lunch Series Event** (12pm-1pm) for UC Hastings students on the App Annie case. Happy to schedule that event if you have a speaker in mind from the SEC? It could be you, or anyone else from the SEC that you think would be appropriate.
2. **CBL Roundtable on Financial Policy & Regulation**: we are planning to host our next edition in Sacramento on May 10^{th} (dinner) and May 11^{th} (event). We are still working on the agenda (themes may include public banking, CRA regime for money transmitters, crypto regulation, and board diversity following SB-826 and AB-979). Our idea this time is to involve more CA state legislators and regulators, so we are working on those invites. But again, it would be great to have you or one of your SEC colleagues for the crypto panel!
3. **Fireside Talk by a SEC Commissioner**? I'm penciling in this option, in case one of the Commissioners happens to visit SF this year.
4. **Outreach/education to underserved communities:** You had mentioned collaborating with UC Hastings on some type of outreach/education initiative, but we never discussed details. Happy to pick up on this thought.

Anyway, hope you've had a great start of the year and I look forward to reconnecting!

Best,

(b)(6) [redacted]

University of California, Hastings College of the Law
200 McAllister St., Office 331
San Francisco, CA 94102
+1 (628) 245-7180
epsteinevan@uchastings.edu
cbl.uchastings.edu
Boardroom Governance Podcast | Newsletter

From: Schneider, Erin
To: (b)(6)
Subject: RE: (b)(5)
Date: Monday, January 31, 2022 6:02:19 PM

Thanks. I'm glad to know that (b)(6) is on them. Will you include me on the invites and if I can go, great and if I can't, (b)(6) will be our rep? Appreciate.

From: (b)(6) (b)(6)@sec.gov>
Sent: Monday, January 31, 2022 3:01 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: Re: (b)(5)

Hey Erin - Yes, of course! (b)(5)
(b)(5) (b)(6) and NYRO will also be on the call. (b)(5)
(b)(5)
too.
(b)(6)

On Jan 31, 2022, at 5:53 PM, Schneider, Erin <SchneiderE@sec.gov> wrote:

(b)(5)

Erin
Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: (b)(6)
Subject: RE: (b)(5)
Date: Thursday, February 10, 2022 12:57:02 PM

Thank you – I got completely caught up this morning and appreciate you being on

From: (b)(6) (b)(6) @sec.gov>
Sent: Thursday, February 10, 2022 8:57 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: (b)(5)

(b)(5)

(b)(6)
U.S. Securities and Exchange Commission
Assistant Regional Director-Regulation
44 Montgomery St, Suite 2800
San Francisco, CA 94104
(b)(6)

From: Schneider, Erin
To: Andrews, Robin
Subject: Re: Webex Chat?
Date: Wednesday, January 19, 2022 12:22:58 AM

Nine is perfect. Appreciate you reaching out!

Sent from my iPhone

> On Jan 18, 2022, at 7:25 PM, Andrews, Robin (b)(6) @sec.gov> wrote:
>
> Erin:
> I was hoping to have a quick (and long overdue) Webex chat this week. Nothing urgent - just consider this the equivalent of me (the new person) stopping by your office to say hi, etc.
> Your calendar appears open at 9 am tomorrow, but I wanted to check first before sending a webex invite. I am also open at 11, which also seems good for you. This can also wait until later in the week if tomorrow is tight for you. Thank you!
>
> Robin Andrews
> Senior Counsel
> U.S. Securities and Exchange Commission
> Division of Enforcement
> 44 Montgomery Street, Suite 2800
> San Francisco, CA 94104
> (b)(6) (direct)
> (b)(6) @sec.gov

From: Schneider, Erin
To: (b)(6)
Subject: RE: Weekly - Enforcement Aging Report by POC Group - 2022-01-17
Date: Friday, January 21, 2022 6:55:55 PM

(b)(5)

From: (b)(6) (b)(6)@SEC.GOV>
Sent: Monday, January 17, 2022 11:55 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: (b)(6) (b)(6)@SEC.GOV>; (b)(6) (b)(6)@sec.gov>; (b)(6) (b)(6) (b)(6)@SEC.GOV>; (b)(6) (b)(6)@SEC.GOV>; (b)(6) (b)(6)@SEC.GOV>; (b)(6) (b)(6)@SEC.GOV>
Subject: FW: Weekly - Enforcement Aging Report by POC Group - 2022-01-17

Hello Erin:

(b)(5)

Thank you very much.

OMI Management Team

From: (b)(6) (b)(6)@SEC.GOV>
Sent: Monday, January 17, 2022 2:45 PM
To: (b)(6) (b)(6)@SEC.GOV>; (b)(6) (b)(6)@sec.gov>; (b)(6) (b)(6) (b)(6)@SEC.GOV>; (b)(6) (b)(6)@SEC.GOV>
Cc: (b)(6) (b)(6)@SEC.GOV>; (b)(6) (b)(6)@SEC.GOV>
Subject: FW: Weekly - Enforcement Aging Report by POC Group - 2022-01-17

Dear Enforcement Staff and Officers:

(b)(5)

Sincerely,

The OMI Management Team

From: "TCRReports" (b)(6)@sec.gov>
Sent: Monday, January 17, 2022 7:01 AM
To: #RO TCR Aging (b)(6)@SEC.GOV>
Subject: Weekly - Enforcement Aging Report by POC Group - 2022-01-17

Report contains privileged and confidential information and is not for external dissemination or discussion.

Please do not reply to this message. This email address is not monitored for responses.

Weekly - Enforcement Aging Report by POC Group

From: Schneider, Erin
To: Ro, Elena
Subject: RE: Writing Course for SFRO
Date: Monday, February 7, 2022 1:45:56 PM

Did you ever set something up with (b)(6) (per the message you attached)? Because (b)(6) the person I met with (with (b)(6) to chat about the writing course.

From: Ro, Elena (b)(6) @sec.gov>
Sent: Monday, February 7, 2022 10:37 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6) @sec.gov>
Subject: RE: Writing Course for SFRO
So here is how I last left it with (b)(6) (attached). We had already completed the writing course on the ENF side (I confirmed this with (b)(6), and so I asked (b)(6) if (b)(6) wanted the same for EXAMS and (b)(6) said yes. So I am just waiting for the EXAMS trainer to get back to me with dates.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, February 7, 2022 10:32 AM
To: Ro, Elena (b)(6) @sec.gov>; Winkler, Monique (b)(6) @sec.gov>
Subject: Writing Course for SFRO
Hi – I chatted with (b)(6) earlier and (b)(6) mentioned the writing course that Elena had asked for. Assume we want to open this up to both Exam and ENF? Will you guys let me know what is a good date for the ENF side and I will ask the examiner ADs on Weds as well? I think the only hard part is that we need to appoint a subject matter expert to chat with the trainer about what sort of help we're looking for (I think we could appoint an ENF AD and an Exam AD – sounds like it would only be about an hour of work). And then we need to submit some writing samples.

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

U.S. Securities and Exchange Commission

From: Schneider, Erin
To: Apps, Antonia; Wong, Christine Y.; (b)(6) Naftalis, Gary P.
Subject: RE: Your ABA Panel: Securities Enforcement in 2022 | 37th National Institute on White Collar Crime
Date: Saturday, February 5, 2022 11:29:40 AM
Attachments: image001.png

Hi – I can't do Tues but can do Weds.

From: Apps, Antonia <AApps@milbank.com>
Sent: Saturday, February 5, 2022 7:53 AM
To: Wong, Christine Y. <ChristineWong@mofo.com>; (b)(6)
(b)(6) Naftalis, Gary P. <gnaftalis@KRAMERLEVIN.com>; Schneider, Erin <SchneiderE@sec.gov>
Subject: RE: Your ABA Panel: Securities Enforcement in 2022 | 37th National Institute on White Collar Crime

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.

Dear panelists,

Our panel is on **Wednesday, March 2nd, 4:15 to 5:30 pm** (at the Hilton San Francisco, Union Square, 333 O'Farrell Street).

Can we do a prep call either Tuesday February 22nd or Wednesday, February 23rd at 5:30 pm EST?

Hope you are all well!

Best,
Antonia

Antonia M. Apps | Milbank | Partner
55 Hudson Yards | New York, NY 10001-2163
T: +1 212.530.5357 | M: (b)(6)
aapps@milbank.com | milbank.com

From: Wong, Christine Y. <ChristineWong@mofo.com>
Sent: Thursday, December 16, 2021 9:23 PM
To: Apps, Antonia <AApps@milbank.com>; (b)(6)
(b)(6) Naftalis, Gary P. <gnaftalis@KRAMERLEVIN.com>;
SchneiderE@sec.gov
Subject: [EXT] RE: Your ABA Panel: Securities Enforcement in 2022 | 37th National Institute on White Collar Crime

Thanks Antonia! Looking forward to this.

From: Apps, Antonia <AApps@milbank.com>
Date: Thursday, Dec 16, 2021, 6:03 PM
To: (b)(6) Naftalis, Gary P. <gnaftalis@KRAMERLEVIN.com>, Wong, Christine Y. <ChristineWong@mofo.com>, SchneiderE@sec.gov <SchneiderE@sec.gov>
Subject: FW: Your ABA Panel: Securities Enforcement in 2022 | 37th National Institute on White Collar Crime

External Email

Dear panelists,
See below information on our panel.
I will take care of the panel description but if anyone has materials they want to submit for the CLE portion, let me know.

Let's schedule a time to talk the first week in February. I would suggest **February 1st or 2nd, at 5pm EST/2pm PT**. Does that work for everyone?
Erin and Andrea, I will be in touch about details of who organizes payment for your travel as necessary . . .
Thank you all!

Antonia M. Apps | Milbank | Partner
55 Hudson Yards | New York, NY 10001-2163
T: +1 212.530.5357 M: (b)(6)
aapps@milbank.com | milbank.com

From: O'Donnell, Margarita K. <modonnell@zuckerman.com>
Sent: Thursday, December 16, 2021 8:29 PM
To: Apps, Antonia <AApps@milbank.com>
Cc: (b)(6); Goelman, Aitan <AGoelman@zuckerman.com>; Amzallag, Daniel <damzallag@zuckerman.com>; Gainey, Kimberly <kgainey@zuckerman.com>
Subject: [EXT] Your ABA Panel: Securities Enforcement in 2022 | 37th National Institute on White Collar Crime

Dear Antonia:
I am working with (b)(6) and Aitan Goelman to organize the 2022 National Institute on White Collar Crime. We would like to thank you once again for serving as a moderator at the next National Institute on White Collar Crime.

We write to remind you of the need to contact your panelists at your earliest convenience (if you have not done so already) to remind them of the matters below.

Institute Dates and Location:
The Institute will be held at the Hilton San Francisco Union Square hotel in San Francisco, California from Wednesday, March 2, 2022 at 9:00 a.m. through Friday, March 4, 2022 at 11:45 a.m. Please remind your panelists that they must reserve their rooms (with their credit card) *as soon as possible* if they want to stay at the conference hotel. The ABA will register each panelist and moderator for the conference.

Information about Your Panel:
Your panel on Securities Enforcement in 2022 will be held on **Wednesday, March 2, 2022, from 4:15 p.m. until 5:30 p.m.** Your panelists and their email addresses are:

(b)(6)	
Gary P. Naftalis	gnaftalis@kramerlevin.com
Erin Schneider	
Christine Y. Wong	christinewong@mofo.com

Panel Submissions:
If you have not done so already, please send us as soon as possible a **short (2-3 sentence) description of your panel.**

In addition, we would like to remind you of the paper requirements for the conference. The Institute Book is a very important part of the program and makes the Institute the premier program that it is. We must have **at least two substantive papers for the Book from each panel**. Papers do not have to be original products prepared just for the Institute. They can **be recycled but updated papers on the topic of your panel or you can select papers that you have found valuable even though written by a non-panelist**. If they are reprinted materials, please also provide us with the author's name and place of publication so we can obtain permission from the publisher to reprint it.

We request that you provide us with these two papers by **January 10, 2022.**

All authors (including non-panelists) will receive credit in the Author & Co-Author Table. When submitting your substantive papers, we ask that you keep the following in mind:

- In previous years, **states have denied CLE credit for panels that lacked substantive written material.**
- As described above, papers do not have to be original products prepared just for the Institute.
- Judges and government representatives do not have to submit papers (but are encouraged to submit one, especially previously published ones, if they would like to).
- We will not accept publications issued by firms or a whole practice groups unless they are submitted in a word document, as an actual paper, without the firm heading, and with only the actual authors rather than the names of everyone in the practice group.

Please let me know if you have any questions or concerns. I would appreciate it if you could copy me at modonnell@zuckerman.com and Ray Banoun at ray.banoun@banounlaw.com on all correspondence you have with your panelists so we can be equally informed.

Thank you again for making this Institute a success. We look forward to seeing you in San Francisco.

Sincerely,

Maggie O'Donnell

ZUCKERMAN SPAEDER

Margarita O'Donnell
Zuckerman Spaeder LLP
modonnell@zuckerman.com

1800 M STREET NW, SUITE 1000 • WASHINGTON, DC 20036-5807
(b)(6) direct • 202.822.8106 fax

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ZUCKERMAN SPAEDER

Margarita O'Donnell
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(b)(6) direct • 202.822.8106 fax

► Download vCard | zuckerman.com

From: Schneider, Erin
To: Winkler, Monique
Subject: RE: Your ABA Panel: The Impact of Environmental, Social and Governance Issues on White Collar Enforcement | 37th National Institute on White Collar Crime
Date: Tuesday, January 18, 2022 5:02:11 PM
Attachments: image001.png
image002.png

I haven't heard that from (b)(6) yet

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Tuesday, January 18, 2022 1:38 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: FW: Your ABA Panel: The Impact of Environmental, Social and Governance Issues on White Collar Enforcement | 37th National Institute on White Collar Crime
FYI. And wondering if (b)(6) is leaving...

From: Gibson, Kelly L. (PLRO) (b)(6) @sec.gov>
Sent: Tuesday, January 18, 2022 1:17 PM
To: Belveal, Jennifer Z. <JBelveal@foley.com>
Cc: Winkler, Monique (b)(6) @sec.gov>
Subject: RE: Your ABA Panel: The Impact of Environmental, Social and Governance Issues on White Collar Enforcement | 37th National Institute on White Collar Crime
Hi Jennifer,
It is my pleasure to introduce you to Monique Winkler, Associate Director of Enforcement in the San Francisco Regional Office, and very integral member of the Climate and ESG Task Force. Monique is available and happy to serve on your panel. Please feel free to reach out to her directly to coordinate.
Thanks!
Kelly

From: Belveal, Jennifer Z. <JBelveal@foley.com>
Sent: Friday, December 17, 2021 9:49 AM
To: pholmes@rshc-law.com; Gibson, Kelly L. (PLRO) (b)(6) @sec.gov>; (b)(6) Mara.Senn@zimmerbiomet.com
Subject: FW: Your ABA Panel: The Impact of Environmental, Social and Governance Issues on White Collar Enforcement | 37th National Institute on White Collar Crime

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.

Good morning Panelists and Happy Friday.
I am forwarding important information from the ABA about our panel in March. We have already provided a panel description, but we need to submit written materials by January 10. Please let me know if you have any suggestions for the written materials – as noted below, they need not be original.
I will contact you after the first of the year to prepare for the conference. In the meantime, please let me know if you have any questions.
I hope each of you have a wonderful holiday season!
Jennifer

FOLEY

FOLEY & LARDNER LLP

Jennifer Z. Belveal
Partner
Foley & Lardner LLP
500 Woodward Avenue, Suite 2700
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FOLEY & LARDNER LLP

From: O'Donnell, Margarita K. <modonnell@zuckerman.com>
Sent: Thursday, December 16, 2021 8:42 PM
To: Belveal, Jennifer Z. <JBelveal@foley.com>
Cc: Raymond Banoun (b)(6) @gmail.com>; Goelman, Aitan <AGoelman@zuckerman.com>; Amzallag, Daniel <damzallag@zuckerman.com>; Gainey, Kimberly <kgainey@zuckerman.com>
Subject: Your ABA Panel: The Impact of Environmental, Social and Governance Issues on White Collar Enforcement | 37th National Institute on White Collar Crime

**** EXTERNAL EMAIL MESSAGE ****

Dear Jennifer

I am working with (b)(6) and Aitan Goelman to organize the 2022 National Institute on White Collar Crime. We would like to thank you once again for serving as a moderator at the next National Institute on White Collar Crime.

We write to remind you of the need to contact your panelists at your earliest convenience (if you have not done so already) to remind them of the matters below.

Institute Dates and Location:

The Institute will be held at the Hilton San Francisco Union Square hotel in San Francisco, California from Wednesday, March 2, 2022 at 9:00 a.m. through Friday, March 4, 2022 at 11:45 a.m. Please remind your panelists that they must reserve their rooms (with their credit card) *as soon as possible* if they want to stay at the conference hotel. The ABA will register each panelist and moderator for the conference.

Information about Your Panel:

Your panel on The Impact of Environmental, Social and Governance Issues on White Collar Enforcement will be held on **Thursday, March 3, 2022, from 4:15 p.m. until 5:30 p.m.** Your panelists and their email addresses are:

Patricia Brown Holmes	pholmes@rshc-law.com
(b)(6)	GibsonKL@sec.gov
(b)(6)	
Mara Senn	mara.senn@zimmerbiomet.com

Panel Submissions:

If you have not done so already, please send us as soon as possible a **short (2-3**

sentence) description of your panel.

In addition, we would like to remind you of the paper requirements for the conference. The Institute Book is a very important part of the program and makes the Institute the premier program that it is. We must have **at least two substantive papers for the Book from each panel**. Papers do not have to be original products prepared just for the Institute. They can **be recycled but updated papers on the topic of your panel or you can select papers that you have found valuable even though written by a non-panelist**. If they are reprinted materials, please also provide us with the author's name and place of publication so we can obtain permission from the publisher to reprint it.

We request that you provide us with these two papers by **January 10, 2022.**

All authors (including non-panelists) will receive credit in the Author & Co-Author Table. When submitting your substantive papers, we ask that you keep the following in mind:

- In previous years, **states have denied CLE credit for panels that lacked substantive written material.**
- As described above, papers do not have to be original products prepared just for the Institute.
- Judges and government representatives do not have to submit papers (but are encouraged to submit one, especially previously published ones, if they would like to).
- We will not accept publications issued by firms or a whole practice groups unless they are submitted in a word document, as an actual paper, without the firm heading, and with only the actual authors rather than the names of everyone in the practice group.

Please let me know if you have any questions or concerns. I would appreciate it if you could copy me at modonnell@zuckerman.com and Ray Banoun at ray.banoun@banounlaw.com on all correspondence you have with your panelists so we can be equally informed.

Thank you again for making this Institute a success. We look forward to seeing you in San Francisco.

Sincerely,

Maggie O'Donnell

Margarita O'Donnell
Zuckerman Spaeder LLP
modonnell@zuckerman.com

1800 M STREET NW, SUITE 1000 • WASHINGTON, DC 20036-5807
(b)(6) direct • 202.822.8106 fax

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copies.

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From: Schneider, Erin
To: Winkler, Monique
Date: Wednesday, March 9, 2022 11:51:38 AM

(b)(5)

From: Schneider, Erin
To: Best, Richard R; Gregus, Daniel
Subject: RE:
Date: Tuesday, March 15, 2022 10:45:43 AM

(b)(5)

From: Best, Richard R (b)(6) @SEC.GOV>
Sent: Tuesday, March 15, 2022 7:43 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Gregus, Daniel (b)(6) @SEC.GOV>
Subject: RE:

(b)(5)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Tuesday, March 15, 2022 10:40 AM
To: Best, Richard R (b)(6) @SEC.GOV>; Gregus, Daniel (b)(6) @SEC.GOV>
Subject:

(b)(5)

Erin E. Schneider
U.S. Securities and Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, CA 94104
415.705.2500
Schneidere@sec.gov

From: Schneider, Erin
To: Winkler, Monique
Subject: RE:
Date: Monday, March 7, 2022 5:58:32 PM

(b)(5)

From: Winkler, Monique (b)(6) @sec.gov>
Sent: Monday, March 7, 2022 2:57 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

Interesting…

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, March 7, 2022 2:55 PM
To: Winkler, Monique (b)(6) @sec.gov>
Subject:

(b)(5)

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
44 Montgomery Street, Suite 2800
San Francisco, California 94104
415.705.2500
schneidere@sec.gov

From: Schneider, Erin
To: Buchholz, Steven; Winkler, Monique
Subject: RE:
Date: Tuesday, March 8, 2022 12:24:27 PM

I was leaving it up to M to schedule. Feel like we need (b)(6) as well.

From: Buchholz, Steven (b)(6) @sec.gov>
Sent: Tuesday, March 8, 2022 9:23 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Winkler, Monique (b)(6) @sec.gov>
Subject: Re:

Should we talk after the all-hands? I'll make time whenever, and I think (b)(6) s pretty flexible today.

From: Schneider, Erin
Sent: Tuesday, March 8, 2022 7:49:03 AM
To: Buchholz, Steven; Winkler, Monique
Subject:

Wow. There is so much to unpack in that filing.

From: Schneider, Erin
To: Ro, Elena; Lee, Mark
Subject: RE:
Date: Friday, March 11, 2022 1:28:26 PM

They're not there

From: Ro, Elena (b)(6) @sec.gov>
Sent: Friday, March 11, 2022 10:24 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Lee, Mark <(b)(6) @SEC.GOV>
Subject: RE:

I was waiting for OIIR to complete. Mark – can you please check? Erin – is it in your LEAP queue by chance? I did not do this, per our discussions.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, March 11, 2022 10:19 AM
To: Lee, Mark (b)(6) @SEC.GOV>; Ro, Elena (b)(6) @sec.gov>
Subject:

Did I ever get access to release the PWPs for the EXAMs ARDs? Or Elena did you do this?

From: Schneider, Erin
To: Ro, Elena
Subject: RE:
Date: Friday, March 11, 2022 1:25:53 PM

I will look. Last time I looked there was nothing there.

From: Ro, Elena (b)(6) @sec.gov>
Sent: Friday, March 11, 2022 10:24 AM
To: Schneider, Erin <SchneiderE@sec.gov>; Lee, Mark (b)(6) @SEC.GOV>
Subject: RE:

I was waiting for OIIR to complete. Mark – can you please check? Erin – is it in your LEAP queue by chance? I did not do this, per our discussions.

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, March 11, 2022 10:19 AM
To: Lee, Mark (b)(6) @SEC.GOV>; Ro, Elena (b)(6) @sec.gov>
Subject:

Did I ever get access to release the PWPs for the EXAMs ARDs? Or Elena did you do this?

From: Schneider, Erin
To: Reese, James R.
Cc: Koretke, Charles; Valdez, Victor; Storch, Adam; Greiner, Natasha (Vij); Cassidy, Keith
Subject: RE:
Date: Friday, March 4, 2022 12:19:52 PM

Thanks so much, Jim, this is great.

-----Original Message-----
From: Reese, James R. (b)(6) @sec.gov>
Sent: Friday, March 4, 2022 8:16 AM
To: Schneider, Erin <SchneiderE@sec.gov>
Cc: Koretke, Charles (b)(6) @SEC.GOV>; Valdez, Victor (b)(6) @SEC.GOV>; Storch, Adam (b)(6) @SEC.GOV>; Greiner, Natasha (Vij) (b)(6) @SEC.GOV>; Cassidy, Keith (b)(6) @SEC.GOV>
Subject: RE:

(b)(5)

-----Original Message-----
From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Friday, March 4, 2022 10:50 AM
To: Valdez, Victor (b)(6) @SEC.GOV>; Koretke, Charles (b)(6) @SEC.GOV>
Subject:

(b)(5)

Sent from my iPhone

From: Schneider, Erin
To: Ro, Elena
Date: Friday, February 25, 2022 12:17:35 PM

Shoot – we forgot to take a pic of the office for my Friday email!!!!!!!!!

From: Schneider, Erin
To: Ro, Elena; Winkler, Monique; Haddad, Edward G.
Date: Monday, February 28, 2022 10:12:11 AM

(b)(6)

Sent from my iPhone

From: Schneider, Erin
To: Haddad, Edward G.
Subject: RE:
Date: Monday, February 28, 2022 4:31:09 PM

It’s a lot of change. I figure we can tell the EXAM ADs during our Weds call so they’re not shocked during the Town Hall on Weds.

From: Haddad, Edward G. (b)(6) @sec.gov>
Sent: Monday, February 28, 2022 1:27 PM
To: Schneider, Erin <SchneiderE@sec.gov>
Subject: RE:

Yes, folks seem very supportive, which is great. I’m sure our staff will have many questions when they hear (b)(6) is leaving too! (b)(6)
(b)(6)

From: Schneider, Erin <SchneiderE@sec.gov>
Sent: Monday, February 28, 2022 1:21 PM
To: Haddad, Edward G. (b)(6) @sec.gov>
Subject:

Ugh that was sort of awful. But you definitely have a lot of folks who want to help!

From: Schneider, Erin
To: (b)(6)
Date: Thursday, February 17, 2022 4:34:15 PM

(b)(5)

Erin E. Schneider
Regional Director
United States Securities & Exchange Commission
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schneidere@sec.gov