

### 3. Agency Component Abbreviations

Component Abbreviation	Component Name
FTC	Federal Trade Commission

### IV. Exemption 3 Statutes

Statute	Type of Information Withheld	Case Citation	Agency / Component	Number of Times Relied upon by Agency / Component	Total Number of Times Relied upon by Agency Overall
21 U.S.C. § 355	Any information or documentary material that may have been filed pursuant to a pharmaceutical agreement notification	N/A	FTC	2	2
15 U.S.C. §§ 46(f), 57b-2(f) (Federal Trade Trade	"[A]ny trade secret or any commercial or financial information which is obtained from any person and	A. Michael's Piano, Inc. v. FTC, 18 F.3d 138, 143-44 (2d Cir. 1994) (15 U.S.C. § 57b-2);	FTC	181	181

Commission Act)	which is privileged or confidential” and certain investigative materials received by the FTC and “provided pursuant to any compulsory process under this subchapter or which is provided voluntarily in place of such compulsory process”	Ctr. for Digit. Democracy v. FTC, 189 F. Supp. 3d 151, 158-59 (D.D.C. 2016) (15 U.S.C. § 46(f)); Ayuda, Inc. v. FTC, 70 F. Supp. 3d 247, 278-79 (D.D.C. 2014) (15 U.S.C. § 57b-2); Nat’l Educ. Ass’n v. FTC, No. 79-959-S, 1983 WL 1883, at *1 (D. Mass. Sept. 26, 1983) (15 U.S.C. § 57b-2).			
15 U.S.C. § 18a(h)	Information submitted in connection with the premerger notification provisions of the Hart-Scott-Rodino Antitrust Improvements Act of 1976	Lieberman v. FTC, 771 F.2d 32 (2nd Cir. 1985).	FTC	14	14

**V.A. FOIA REQUESTS -- RECEIVED, PROCESSED AND PENDING FOIA REQUESTS**

Agency / Component	Number of Requests	Number of Requests	Number of Requests	Number of Requests
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	Pending as of Start of Fiscal Year	Received in Fiscal Year	Processed in Fiscal Year	Pending as of End of Fiscal Year
FTC	64	1177	1208	33
AGENCY OVERALL	64	1177	1208	33

*After reviewing its database, FTC adjusted the number of requests pending as of the start of the Fiscal Year.*

**V.B.(1). DISPOSITION OF FOIA REQUESTS -- ALL PROCESSED REQUESTS**

Agency / Component	Number of Full Grants	Number of Partial Grants / Partial Denials	Number of Full Denials Based on Exemptions	Number of Full Denials Based on Reasons Other than Exemptions									TOTAL
				No Records	All Records Referred to Another Component or Agency	Request Withdrawn	Fee-Related Reason	Records not Reasonably Described	Improper FOIA Request for Other Reason	Not Agency Record	Duplicate Request	Other *Explain in Chart Below	
FTC	329	467	117	114	1	16	11	38	31	5	33	46	1208
AGENCY OVERALL	329	467	117	114	1	16	11	38	31	5	33	46	1208

**V.B.(2). DISPOSITION OF FOIA REQUESTS -- "OTHER" REASONS FOR "FULL DENIALS BASED ON REASONS OTHER THAN EXEMPTIONS"**

Agency / Component	Description of "Other" Reasons for Denials from Chart B(1)	Number of Times "Other"	TOTAL
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		Reason Was Relied Upon	
FTC	Directed Requester to Publicly Available Information	46	46
AGENCY OVERALL			46

**V.B.(3). DISPOSITION OF FOIA REQUESTS -- NUMBER OF TIMES EXEMPTIONS APPLIED**

Agency / Component	Ex. 1	Ex. 2	Ex. 3	Ex. 4	Ex. 5	Ex. 6	Ex. 7(A)	Ex. 7(B)	Ex. 7(C)	Ex. 7(D)	Ex. 7(E)	Ex. 7(F)	Ex. 8	Ex. 9
FTC	0	11	144	89	114	437	115	1	17	10	4	0	0	0
AGENCY OVERALL	0	11	144	89	114	437	115	1	17	10	4	0	0	0

**VI.A. ADMINISTRATIVE APPEALS OF INITIAL DETERMINATIONS OF FOIA REQUESTS -- RECEIVED, PROCESSED, AND PENDING ADMINISTRATIVE APPEALS**

Agency / Component	Number of Appeals Pending as of	Number of Appeals	Number of Appeals	Number of Appeals Pending as of



FTC	0	0	4	5	5	2	6	0	0	0	1	0	0	0
AGENCY OVERALL	0	0	4	5	5	2	6	0	0	0	1	0	0	0

**VI.C.(2). REASONS FOR DENIAL ON APPEAL -- REASONS OTHER THAN EXEMPTIONS**

Agency / Component	No Records	Records Referred at Initial Request Level	Request Withdrawn	Fee-Related Reason	Records not Reasonably Described	Improper Request for Other Reasons	Not Agency Record	Duplicate Request or Appeal	Request in Litigation	Appeal Based Solely on Denial of Request for Expedited Processing	Other *Explain in chart below
FTC	1	0	1	0	0	0	0	0	0	0	0
AGENCY OVERALL	1	0	1	0	0	0	0	0	0	0	0

**VI.C.(3). REASONS FOR DENIAL ON APPEAL -- "OTHER" REASONS**

Agency / Component	Description of "Other" Reasons for Denial on Appeal from Chart C(2)	Number of Times "Other"	TOTAL
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FTC	Date of Appeal	N/A	N/A	N/A	N/A	N/A	N/A	N/A	2020-09-17	2020-09-16	2020-09-15
	Number of Days Pending	0	0	0	0	0	0	0	9	10	11
AGENCY OVERALL	Date of Appeal	N/A	N/A	N/A	N/A	N/A	N/A	N/A	2020-09-17	2020-09-16	2020-09-15
	Number of Days Pending	0	0	0	0	0	0	0	9	10	11

**VII.A. FOIA REQUESTS -- RESPONSE TIME FOR ALL PROCESSED PERFECTED REQUESTS**

Agency / Component	SIMPLE				COMPLEX				EXPEDITED PROCESSING			
	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days
FTC	4	6.07	<1	161	11	26.35	<1	530	10	28.54	<1	207
AGENCY OVERALL	4	6.07	<1	161	11	26.35	<1	530	10	28.54	<1	207

**VII.B. PROCESSED REQUESTS -- RESPONSE TIME FOR PERFECTED REQUESTS IN WHICH INFORMATION WAS GRANTED**



Agency / Component	SIMPLE				COMPLEX				EXPEDITED PROCESSING			
	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days	Median Number of Days	Average Number of Days	Lowest Number of Days	Highest Number of Days
FTC	4	6.61	<1	161	18.5	39.19	1	530	4	31	<1	207
AGENCY OVERALL	4	6.61	<1	161	18.5	39.19	1	530	4	31	<1	207

**VII.C. PROCESSED SIMPLE REQUESTS -- RESPONSE TIME IN DAY INCREMENTS**

Agency / Component	<1-20 Days	21-40 Days	41-60 Days	61-80 Days	81-100 Days	101-120 Days	121-140 Days	141-160 Days	161-180 Days	181-200 Days	201-300 Days	301-400 Days	401+ Days	TOTAL
FTC	734	12	2	0	1	0	0	1	1	0	0	0	0	751
AGENCY OVERALL	734	12	2	0	1	0	0	1	1	0	0	0	0	751

**VII.C. PROCESSED COMPLEX REQUESTS -- RESPONSE TIME IN DAY INCREMENTS**

Agency / Component	<1-20 Days	21-40 Days	41-60 Days	61-80 Days	81-100 Days	101-120 Days	121-140 Days	141-160 Days	161-180 Days	181-200 Days	201-300 Days	301-400 Days	401+ Days	TOTAL
FTC	255	61	24	19	8	5	1	3	3	1	2	2	1	385
AGENCY OVERALL	255	61	24	19	8	5	1	3	3	1	2	2	1	385

**VII.C. PROCESSED REQUESTS GRANTED EXPEDITED PROCESSING -- RESPONSE TIME IN DAY INCREMENTS**

Agency / Component	<1-20 Days	21-40 Days	41-60 Days	61-80 Days	81-100 Days	101-120 Days	121-140 Days	141-160 Days	161-180 Days	181-200 Days	201-300 Days	301-400 Days	401+ Days	TOTAL
FTC	0	1	0	1	0	0	0	0	0	0	1	0	0	3
AGENCY OVERALL	0	1	0	1	0	0	0	0	0	0	1	0	0	3

**VII.D. PENDING REQUESTS -- ALL PENDING PERFECTED REQUESTS**

	SIMPLE	COMPLEX	EXPEDITED PROCESSING
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Agency / Component	Number Pending	Median Number of Days	Average Number of Days	Number Pending	Median Number of Days	Average Number of Days	Number Pending	Median Number of Days	Average Number of Days
FTC	12	4	7.3	17	13	17.8	0	N/A	N/A
AGENCY OVERALL	12	4	7.3	17	13	12	0	N/A	N/A

**VII.E. PENDING REQUESTS -- TEN OLDEST PENDING PERFECTED REQUESTS**

Agency / Component		10th Oldest Request	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Request
FTC	Date of Receipt	2020-09-14	2020-09-14	2020-09-10	2020-09-09	2020-09-01	2020-08-28	2020-08-19	2020-08-11	2020-07-30	2020-07-20
	Number of Days Pending	12	12	12	15	20	22	29	35	43	51
AGENCY OVERALL	Date of Receipt	2020-09-14	2020-09-14	2020-09-10	2020-09-09	2020-09-01	2020-08-28	2020-08-19	2020-08-11	2020-07-30	2020-07-20
	Number of Days Pending	12	12	12	15	20	22	29	35	43	51

**VIII.A. REQUESTS FOR EXPEDITED PROCESSING**

Agency / Component	Number Granted	Number Denied	Median Number of Days to Adjudicate	Average Number of Days to Adjudicate	Number Adjudicated Within Ten Calendar Days
FTC	10	104	5	6.6	87
AGENCY OVERALL	10	104	5	6.6	87

**VIII.B. Requests for Fee Waiver**

Agency / Component	Number Granted	Number Denied	Median Number of Days to Adjudicate	Average Number of Days to Adjudicate
FTC	150	0	4	7.06
AGENCY OVERALL	150	0	4	7.06

**IX. FOIA Personnel and Costs**

Agency / Component	PERSONNEL			COSTS		
	Number of "Full-Time FOIA Employees"	Number of "Equivalent Full-Time FOIA Employees"	Total Number of "Full-Time FOIA Staff"	Processing Costs	Litigation-Related Costs	Total Costs
FTC	7	2.70	9.70	1165879.85	102489.00	1268368.85
AGENCY OVERALL	7	2.70	9.70	1165879.85	102489.00	1268368.85

**X. Fees Collected for Processing Requests**

Agency / Component	Total Amount of Fees Collected	Percentage of Total Costs
FTC	10240.80	0.8800
AGENCY OVERALL	10240.80	0.8800

**XI.A. Number of Times Subsection (C) Used**

Agency / Component	Number of Times Subsection Used
FTC	0
AGENCY OVERALL	0

**XI.B. Number of Subsection (A)(2) Postings**

Agency / Component	Number of Records Posted by the FOIA Office	Number of Records Posted by Program Offices
FTC	6	0
AGENCY OVERALL	6	0

**XII.A. Backlogs of FOIA Requests and Administrative Appeals**

Agency / Component	Number of Backlogged Requests as of End of Fiscal Year	Number of Backlogged Appeals as of End of Fiscal Year
FTC	2	0
AGENCY OVERALL	2	0

**XII.B. CONSULTATIONS ON FOIA REQUESTS -- RECEIVED, PROCESSED, AND PENDING CONSULTATIONS**

Agency / Component	Number of Consultations Received from Other Agencies that were <u>Pending</u> at the Agency as of <u>Start</u> of the Fiscal Year	Number of Consultations <u>Received</u> from Other Agencies During the Fiscal Year	Number of Consultations Received from Other Agencies that were <u>Processed</u> by the Agency During the Fiscal Year	Number of Consultations Received from Other Agencies that were <u>Pending</u> at the Agency as of <u>End</u> of the Fiscal Year
FTC	0	8	8	0

AGENCY OVERALL	0	8	8	0
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**XII.C. CONSULTATIONS ON FOIA REQUESTS -- TEN OLDEST CONSULTATIONS RECEIVED FROM OTHER AGENCIES AND PENDING AT THE AGENCY**

Agency / Component		10th Oldest Consultation	9th	8th	7th	6th	5th	4th	3rd	2nd	Oldest Consultation
FTC	Date	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Number of Days	0	0	0	0	0	0	0	0	0	0
AGENCY OVERALL	Date	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Number of Days	0	0	0	0	0	0	0	0	0	0

**XII.D.(1). COMPARISON OF NUMBERS OF REQUESTS FROM PREVIOUS AND CURRENT ANNUAL REPORT -- REQUESTS RECEIVED AND PROCESSED**

Agency / Component	NUMBER OF REQUESTS <u>RECEIVED</u>		NUMBER OF REQUESTS <u>PROCESSED</u>	
	Number Received During Fiscal Year from	Number Received During Fiscal Year from	Number Processed During Fiscal	Number Processed During Fiscal



	Last Year's Annual Report	Current Annual Report	Year from Last Year's Annual Report	Year from Current Annual Report
FTC	64	1177	1361	1208
AGENCY OVERALL	64	1177	1361	1208

**XII.D.(2). COMPARISON OF NUMBERS OF REQUESTS FROM PREVIOUS AND CURRENT ANNUAL REPORT -- BACKLOGGED REQUESTS**

Agency / Component	Number of Backlogged Requests as of End of the Fiscal Year from Previous Annual Report	Number of Backlogged Requests as of End of the Fiscal Year from Current Annual Report
FTC	3	2
AGENCY OVERALL	3	2

**XII.E.(1). COMPARISON OF NUMBERS OF ADMINISTRATIVE APPEALS FROM PREVIOUS AND CURRENT ANNUAL REPORT -- APPEALS RECEIVED AND PROCESSED**

Agency / Component	NUMBER OF APPEALS RECEIVED		NUMBER OF APPEALS PROCESSED	
	Number Received During Fiscal Year from Last Year's Annual Report	Number Received During Fiscal Year from Current Annual Report	Number Processed During Fiscal Year from Last Year's Annual Report	Number Processed During Fiscal Year from Current Annual Report
FTC	1	24	43	22
AGENCY OVERALL	1	24	43	22

**XII.E.(2). COMPARISON OF NUMBERS OF ADMINISTRATIVE APPEALS FROM PREVIOUS AND CURRENT ANNUAL REPORT -- BACKLOGGED APPEALS**

Agency / Component	Number of Backlogged Appeals as of End of the Fiscal Year from Previous Annual Report	Number of Backlogged Appeals as of End of the Fiscal Year from Current Annual Report
FTC	0	0
AGENCY OVERALL	0	0

