From: Sotelo, Alan
To: FOIA_HQ@EPA
Subject: FOIA: CRIMINAL Enforcement
Date: 07/23/2013 03:57 AM

Dear FOIA Operations Staff:

MSCI ESG Research is a nonpartisan organization that compiles and analyzes information on business and social issues for institutional investors interested in environmental stewardship practices of publicly traded companies. Pursuant to the provisions of the Freedom of Information Act, MSCI requests that the Environmental Protection Agency provide MSCI with a list of **CRIMINAL** enforcement actions from EPA's DOCKET System that meet the following criteria:

> **ONLY those CRIMINAL enforcement actions which had a monetary penalty <u>assessed in calendar year 2012</u>** (i.e., only cases which were opened in calendar year 2012 (up to December 31, 2012). [i.e., all cases that have a calendar year 2012 value for the **CASE OPENED DATE** field]).

For each enforcement action, please include the following information:

- case name;
- **<u>assessed penalty</u>** <u>amount.</u>
- defendant's name;
- name of the facility
- facility address, state, and zip code;
- EPA ID no. (if available);
- Statutory title violated;
- Statutory subsection violated
- description of case/violation;
- date case opened
- sentence entered date

We would also like to request for a data dictionary, for the information publicly available through your office. If available, please include SIC code and CUSIP for each violator (MSCI has CUSIP license from Standard & Poor's).

We respectfully request this data be made available to MSCI in Microsoft Access or Microsoft Excel format. If it is not feasible to have the data provided in this format please provide the data in tab-delimited-text or ASCII delimited format.

(**TIP**: If the data is being sent by ASCII format please include a <u>hard return</u> at the end of each record [without the hard returns our Data Management programs have no way to differentiate between each record]).

We also respectfully request the **most recent documenter report** for this data. This documenter report should feature a list of field definitions, record layouts as well as all other relevant

documenter report elements.

MSCI ESG Research has requested and received this data from EPA for all years since 1988 for independent research purposes – **please notify me immediately if the requested data is not available this year.** Also, please notify me if the costs to MSCI will exceed $25. Also please notify me if this data can now be attained over the Internet (instead of through a Freedom of Information Act request). Thank you in advance for your assistance.

Sincerely,

Alan Sotelo
ESG Operations
MSCI

15/F Solaris One Building
130 Dela Rosta St., Legaspi Village
Makati City 1229
Philippines
T: +63.2.902.3675
alan.sotelo@msci.com

This email message and any attachments are for the sole use of the intended recipients and may contain proprietary and/or confidential information which may be privileged or otherwise protected from disclosure. Any unauthorized review, use, disclosure or distribution is prohibited. If you are not an intended recipient, please contact the sender by reply email and destroy the original message and any copies of the message as well as any attachments to the original message. Local registered entity information: http://www.msci.com/legal/local_registered_entities.html