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Description of document: Securities and Exchange Commission (SEC) Inspector General (OIG) investigations closed during CY 2014

Requested date: 31-December-2014

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Source of document: Securities and Exchange Commission
Office of FOIA Services
100 F Street NE
Washington, DC 20549-2736
Fax: 202-772-9336
[Online FOIA Request Form](#)

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

Office of FOIA Services

June 17, 2015

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 15-00001-OIG

This letter is our final response to your request dated December 31, 2014, and received by the SEC Office of Inspector General on January 6, 2015, for a copy of the list or printout or database listing of IG investigations closed during calendar year 2014. Your request was forwarded to and received in this office for processing on January 9, 2015.

Access is granted, in part, to the enclosed 1-page document. Certain information is being withheld under 5 U.S.C. § 552(b)(3), (6) and/or (7)(C), 17 CFR § 200.80(b)(3), (6) and/or (7)(iii).

Information has been redacted from the enclosed document in accordance with the Inspector General Act of 1978 (Pub. L. 95-452), 5 U.S.C. App. § 7(b), which prohibits the SEC OIG from disclosing the identity of an employee, without the employee's consent, when that employee has filed a complaint with the SEC OIG. This information is therefore exempt from public disclosure under the provisions of FOIA Exemption 3.

Under Exemption 6, the release SEC staff names would constitute a clearly unwarranted invasion of personal privacy. Similarly, under Exemption 7(C) release of this information could reasonably be expected to constitute an unwarranted invasion of personal privacy. Further, public identification of SEC staff could conceivably subject them to harassment and annoyance in the conduct of their official duties and in their private lives.

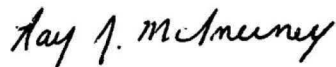
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I am the deciding official with regard to this adverse determination. You have the right to appeal my decision to our General Counsel under 5 U.S.C. § 552(a)(6), 17 CFR § 200.80(d)(5) and (6). Your appeal must be in writing, clearly marked "Freedom of Information Act Appeal," and should identify the records at issue. 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. Also, send a copy to the SEC Office of the General Counsel, Mail Stop 9612, or deliver it to Room 1120 at the Station Place address.

If you have any questions, please contact Jason Luetkenhaus of my staff at luetkenhausj@sec.gov or (202) 551-8352. You may also contact me at foiapa@sec.gov or (202) 551-7900.

Sincerely,



Ray J. McInerney
FOIA Branch Chief

Enclosure

U.S. Securities and Exchange Commission Office of Inspector General
Closed Cases Report
Division: Office of Criminal Investigations/Office of Counsel
Region: Investigations
For the Period Between: 01/01/2014 and 12/31/2014

CLOSED CASES

NUMBER	TITLE	AGENT	REGION	OFFICE	DATE
14-ERA-0009-I	(b)(6),(b)(7)(C)	(b)(6),(b)(7)(C)	Investigations	Investigations	7/1/2014
14-DIM-0012-I	(b)(3);5 U.S.C. App 7(b)(IG Act)		Investigations	Investigation Branch 1	3/11/2014
14-ENF-0017-I	(b)(6),(b)(7)(C)		Investigations	Investigations	9/30/2014
14-ENF-0019-I			Investigations	Investigations	3/11/2014
14-ENF-0020-I	(b)(3);5 U.S.C. App 7(b)(IG Act)		Investigations	Investigations	3/11/2014
14-CIE-0070-I	(b)(6),(b)(7)(C)		Investigations	Investigations	9/30/2014
14-CIE-0071-I			Investigations	Investigations	9/30/2014
14-OSO-0100-I			Investigations	Investigations	8/18/2014
14-ZZZ-0182-I	FAKE SEC DOMAINS		Investigations	Investigations	9/26/2014
14-DTM-0499-I	(b)(3);5 U.S.C. App 7(b)(IG Act)		Investigations	Investigations	1/6/2014
14-OIT-0516-I	(b)(6),(b)(7)(C)		Investigations	Investigations	12/4/2014
14-OEC-0006-I			ISB	Investigative Support Branch	10/28/2014
14-GC-0156-I			ISB	Investigative Support Branch	11/14/2014
14-DCF-0529-I			ISB	Investigative Support Branch	12/23/2014
14-OIT-0002-I	DATA CENTER BREACH		INV Branch 1	Investigation Branch 1	9/5/2014
14-OSO-0005-I	(b)(6),(b)(7)(C)		INV Branch 1	Investigation Branch 1	12/23/2014
14-COM-0013-I	UNAUTHORIZED DISCLOSURE OF NONPUBLIC INFORMATION FROM EXECUTIVE SESSION COMMISSION MEETING		INV Branch 1	Investigation Branch 1	9/16/2014

Total Closed Cases in Period: 17