



# governmentattic.org

*"Rummaging in the government's attic"*

Description of document: List of Securities and Exchange Commission (SEC) Inspector General (OIG) investigations closed during CY 2013

Request date: 24-May-2014

Released date: 22-July-2014

Posted date: 22-December-2014

Source of document: FOIA Request  
Securities and Exchange Commission  
100 F Street NE  
Mail Stop 2736  
Washington, DC 20549  
Fax: 202-772-9337  
[Online FOIA Request Form](#)

The governmentattic.org web site ("the site") is noncommercial and free to the public. The site and materials made available on the site, such as this file, are for reference only. The governmentattic.org web site and its principals have made every effort to make this information as complete and as accurate as possible, however, there may be mistakes and omissions, both typographical and in content. The governmentattic.org web site and its principals shall have neither liability nor responsibility to any person or entity with respect to any loss or damage caused, or alleged to have been caused, directly or indirectly, by the information provided on the governmentattic.org web site or in this file. The public records published on the site were obtained from government agencies using proper legal channels. Each document is identified as to the source. Any concerns about the contents of the site should be directed to the agency originating the document in question. GovernmentAttic.org is not responsible for the contents of documents published on the website.



UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
STATION PLACE  
100 F STREET, NE  
WASHINGTON, DC 20549-2736

Office of FOIA Services

July 22, 2014

RE: Freedom of Information Act (FOIA), 5 U.S.C. § 552  
Request No. 14-07567-FOIA

This letter is in response to your request dated May 24, 2014, and received in this office on June 2, 2014, for a list of OIG investigations closed during calendar year 2013.

Please see the enclosed one-page sheet in response to your request.

For your information, Congress excluded three discrete categories of law enforcement and national security records from the requirements of the FOIA. See 5 U.S.C. 552(c) (2006 & Supp. IV 2010). This response is limited to those records that are subject to the requirements of the FOIA. This is a standard notification that is given to all our requesters and should not be taken as an indication that excluded records do, or do not, exist.

If you have any questions, please contact me at [osbornes@sec.gov](mailto:osbornes@sec.gov) or (202) 551-8371. You may also contact me at [foiapa@sec.gov](mailto:foiapa@sec.gov) or (202) 551-7900.

Sincerely,

*Sonja Osborne*

Sonja Osborne  
FOIA Lead Research Specialist

Enclosure

| OFFICE OF THE INSPECTOR GENERAL<br>INVESTIGATION TRACKING SYSTEM<br>LIST OF INVESTIGATIONS |             |  |        |                           |  |
|--|-------------|--|--------|---------------------------|--|
| CASE #   | DATE OPENED | ALLEGATION                                       | STATUS | DATE CLOSED/<br>COMPLETED |  |
| OIG- 594   | 6/25/2013   | FINANCIAL CONFLICT OF INTEREST; FALSE STATEMENTS | CLOSED | 9/3/2013                  |  |
| OIG- 590   | 4/5/2013    | UNAUTHORIZED DISCLOSURE                          | CLOSED | 7/15/2013                 |  |
| OIG- 588   | 3/1/2013    | PRIVACY ACT VIOLATIONS                           | CLOSED | 4/30/2013                 |  |
| OIG- 587   | 3/1/2013    | FALSE TESTIMONY                                  | CLOSED | 9/18/2013                 |  |
| OIG- 586   | 3/1/2013    | IMPROPER HIRING PRACTICES                        | CLOSED | 9/20/2013                 |  |
| OIG- 586   | 3/1/2013    | IMPROPER HIRING PRACTICES                        | CLOSED | 9/20/2013                 |  |
| OIG- 584   | 2/21/2013   | TRAVEL ABUSE                                     | CLOSED | 3/26/2013                 |  |
| OIG- 583   | 2/21/2013   | PROHIBITED PERSONNEL PRACTICES                   | CLOSED | 4/15/2013                 |  |
| OIG- 583   | 2/21/2013   | PROHIBITED PERSONNEL PRACTICES                   | CLOSED | 4/15/2013                 |  |
| OIG- 583   | 2/21/2013   | IMPROPER TELEWORK AGREEMENT                      | CLOSED | 4/15/2013                 |  |
| OIG- 583   | 2/21/2013   | IMPROPER TELEWORK AGREEMENT                      | CLOSED | 4/15/2013                 |  |
| OIG- 580   | 11/29/2012  | MISUSE OF RESOURCES                              | CLOSED | 1/4/2013                  |  |
| OIG- 579   | 11/20/2012  | HARASSMENT AND STALKING                          | CLOSED | 1/23/2013                 |  |
| OIG- 578   | 11/13/2012  | HARASSMENT AND DISRUPTIVE BEHAVIOR               | CLOSED | 9/9/2013                  |  |
| OIG- 577   | 9/28/2012   | COMPUTER SECURITY VIOLATIONS                     | CLOSED | 3/29/2013                 |  |
| OIG- 576   | 8/2/2012    | IMPROPER CONTRACTING PRACTICES                   | CLOSED | 7/2/2013                  |  |
| OIG- 574   | 4/4/2012    | PRIVACY VIOLATIONS                               | CLOSED | 11/13/2013                |  |