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Description of document: List of all Securities and Exchange Commission (SEC) Inspector General (OIG) investigations closed from 2007-2008

Request date: 2008

Released date: 13-November-2008

Posted date: 12-January-2015

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

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

Office of Freedom of Information
& Privacy Act Operations

Mail Stop 5100

November 13, 2008

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 09-00553-FOIA

Final reference is made to your request for a list of all
OIG investigations closed from October 1, 2006 through October
26, 2008.

After consulting with other Commission staff, we have
determined to release the attached list of OIG investigations.

The total cost incurred to process your request is \$56.00.
Please send your payment and the enclosed invoice to our Office
of Financial Management.

If you have any questions, please contact me by email at
sifordm@sec.gov or by telephone at (202) 551-7201.

Sincerely,

A handwritten signature in black ink, appearing to read "M. Siford".

Mark P. Siford
FOIA/Privacy Act Attorney Advisor

Enclosure

OFFICE OF THE INSPECTOR GENERAL INVESTIGATION TRACKING SYSTEM LIST OF INVESTIGATIONS											
CASE #	DATE OPENED	ALLEGATION	STATUS	JUSTICE		COMMISSION				DATE CLOSED	
				REF	DECL	REF	ACTION	DATE	AMOUNT		
OIG-483	4/2/2008	FAILURE TO BRING ENFORCEMENT ACTION	CLOSED	NO		YES	NO ACTION	11/7/2008		9/30/2008	
OIG-431	10/6/2005	PREFERENTIAL TREATMENT; IMPROPER TERMINATION	CLOSED	NO		YES	NO ACTION	11/7/2008		9/30/2008	
OIG-431	10/6/2005	PREFERENTIAL TREATMENT; IMPROPER TERMINATION	CLOSED	NO		YES	NO ACTION	11/7/2008		9/30/2008	
OIG-431	7/6/2006	PREFERENTIAL TREATMENT; IMPROPER TERMINATION	CLOSED	NO		NO				9/30/2008	
OIG-431	10/6/2005	PREFERENTIAL TREATMENT; IMPROPER TERMINATION	CLOSED	NO		YES	PENDING			9/30/2008	
OIG-431	10/6/2005	PREFERENTIAL TREATMENT; IMPROPER TERMINATION	CLOSED	NO		NO				9/30/2008	
OIT-431	7/6/2006	FALSE STATEMENT	CLOSED	YES	YES	NO				9/30/2008	
OIG-498	8/1/2008	FAILURE TO MAINTAIN ACTIVE BAR STATUS	CLOSED	YES	YES	NO	RETIRED	8/30/2008		9/11/2008	
OIG-479	1/8/2008	HARASSMENT	CLOSED	YES	YES	YES	COUNSELED	9/29/2008		8/14/2008	
OIG-497	7/25/2008	MISUSE OF COMPUTER RESOURCES	CLOSED	NO		YES	PENDING			8/12/2008	
OIG-480	1/16/2008	MISUSE OF POSITION	CLOSED	NO		YES	PENDING			8/12/2008	
OIG-457	3/12/2007	MISUSE OF RESOURCES AND POSITION	CLOSED	NO		YES	COUNSELED	8/22/2008		8/4/2008	
OIG-490	5/22/2008	ORDER TO FALSIFY INFORMATION	CLOSED	NO		NO				7/30/2008	
OIG-464	6/14/2007	MISUSE OF OFFICIAL TIME AND RESOURCES	CLOSED	NO		YES	9 DAY SUSPENSION	9/22/2008		7/24/2008	
OIG-476	12/21/2007	MISUSE OF POSITION, COMPUTER RESOURCES AND OFFICIAL TIME	CLOSED	NO		YES	14 DAY SUSPENSION	9/11/2008		7/18/2008	
OIG-484	4/8/2008	MISUSE OF COMPUTER RESOURCES	CLOSED	NO		YES	RESIGNED	8/15/2008		7/9/2008	
OIG-493	6/6/2008	FALSIFICATION OF GOVERNMENT RECORDS	CLOSED	YES	PENDING	YES	TERMINATED	7/31/2008		6/24/2008	
OIG-469	8/31/2007	MISUSE OF POSITION	CLOSED	YES	YES	YES	COUNSELED	6/17/2008		6/5/2008	
OIG-469	8/31/2007	CONFLICT OF INTEREST; RECEIPT OF GIFTS	CLOSED	YES	PENDING	YES	PENDING			6/5/2008	
OIG-472	10/12/2007	DISRUPTIVE AND INTIMIDATING BEHAVIOR	CLOSED	YES	YES	YES	REASSIGNMENT/COUNSELED	4/28/2008		6/2/2008	
OIG-468	8/31/2007	MISUSE OF COMPUTER RESOURCES	CLOSED	NO		YES	14 DAY SUSPENSION	7/21/2008		4/30/2008	
OIG-478	1/7/2008	FAILURE TO PURSUE CASES; FRAUDULENT CASE CLOSINGS	CLOSED	NO		NO				4/18/2008	
OIG-447	9/1/2006	PERJURY	CLOSED	YES	PENDING	YES	RESIGNED	2/16/2008		3/31/2008	
OIG-465	7/26/2007	MISREPRESENTATION	CLOSED	YES	YES	YES	3 DAY SUSPENSION	7/16/2008		3/27/2008	
OIG-456	2/1/2007	MISUSE OF PARKING PERMIT	CLOSED	YES	YES	YES	TERMINATED	7/16/2008		3/25/2008	
OIG-473	11/5/2007	MISUSE OF COMPUTER RESOURCES	CLOSED	NO		YES	10 DAY SUSPENSION	4/30/2008		3/25/2008	
OIG-467	8/31/2007	MISUSE OF COMPUTER RESOURCES	CLOSED	NO		NO	RESIGNED	3/28/2008		3/14/2008	
OIG-466	7/26/2007	TIME AND ATTENDANCE ABUSE	CLOSED	YES	YES	YES	RESIGNED PURSUANT TO SETTL	8/20/2008	\$24,116	3/13/2008	
OIG-455	2/1/2007	MISUSE OF OFFICIAL TIME AND RESOURCES	CLOSED	NO		NO	RESIGNED	11/24/2007		2/11/2008	
OIG-454	1/29/2007	PERJURY; UNAUTHORIZED PRACTICE OF LAW	CLOSED	YES	YES	NO	RESIGNED	2/9/2007		2/4/2008	
OIG-474	11/15/2007	MISUSE OF COMPUTER RESOURCES	CLOSED	NO		NO	RESIGNED	12/31/2007		1/31/2008	
OIG-462	5/23/2007	MISUSE OF COMPUTER RESOURCES	CLOSED	NO		YES	RESIGNED	4/11/2008		1/23/2008	
OIG-463	6/4/2007	MISUSE OF OFFICIAL TIME AND RESOURCES	CLOSED	NO		YES	14 DAY SUSPENSION	4/28/2008		12/26/2007	
OIG-475	11/20/2007	ASSAULT	CLOSED	NO		NO				12/16/2007	
OIG-458	3/12/2007	T&A ABUSE	CLOSED	NO		NO				10/30/2007	
OIG-461	5/23/2007	MISUSE OF COMPUTER RESOURCES	CLOSED	YES	YES	NO	RESIGNED	9/17/2007		10/1/2007	
OIG-460	5/23/2007	CONFLICT OF INTEREST	CLOSED	YES	YES	NO				8/30/2007	
OIG-459	5/7/2007	MISUSE OF COMPUTER RESOURCES AND OFFICIAL TIME	CLOSED	YES	YES	NO	RESIGNED	8/8/2007		8/10/2007	
OIG-449	9/12/2006	FALSE STATEMENTS	CLOSED	NO		YES	NO ACTION			8/9/2007	
OIG-451	9/12/2006	INVESTIGATIVE MISCONDUCT	CLOSED	NO		NO				8/3/2007	
OIG-450	9/12/2006	IMPROPER REMARKS	CLOSED	NO		NO				8/3/2007	
OIG-450	9/12/2006	PERJURY	CLOSED	NO		NO				8/3/2007	
OIG-452	10/5/2006	CONFLICT OF INTEREST	CLOSED	YES	YES	NO				5/29/2007	
OIG-453	1/25/2007	UNAUTHORIZED DISCLOSURE	CLOSED	NO		NO				5/2/2007	
OIG-448	9/12/2006	MISREPRESENTATIONS	CLOSED	NO		NO				2/6/2007	

DISPOSITION
REFERRED TO CHAIRMAN
ORIGINALLY CLOSED ON 11/29/05; REOPENED ON 7/6/06; REFERRED TO CHAIRMAN
ORIGINALLY CLOSED ON 11/29/05; REOPENED ON 7/6/06; REFERRED TO CHAIRMAN
EVIDENCE FAILED TO SUBSTANTIATE
ORIGINALLY CLOSED ON 11/29/05; REOPENED ON 7/6/06; REFERRED TO CHAIRMAN
ORIGINALLY CLOSED ON 11/20/05; REOPENED ON 7/6/06; MOOT - SUBJECT LEFT COMMISSION
DOJ DECLINED PROSECUTION - SUBJECT LEFT COMMISSION
REFERRED TO ETHICS OFFICE FOR BAR REFERRAL
REFERRED TO MANAGEMENT
REFERRED TO MANAGEMENT
REFERRED TO MANAGEMENT
REFERRED TO MANAGEMENT
EVIDENCE FAILED TO SUBSTANTIATE
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ORIGINALLY CLOSED ON 12/31/2007; REOPENED ON 5/9/2008; REFERRED TO MANAGEMENT
REFERRED TO MANAGEMENT
EVIDENCE FAILED TO SUBSTANTIATE
REFERRED TO JUSTICE
REFERRED TO MANAGEMENT
REFERRED TO MANAGEMENT
REFERRED TO MANAGEMENT
EMPLOYEE RESIGNED DURING INVESTIGATION
REFERRED TO MANAGEMENT
BECAME MOOT - EMPLOYEE RESIGNED PURSUANT TO EEO SETTLEMENT AGREEMENT
NON-PROSECUTION AGREEMENT
EMPLOYEE RESIGNED DURING INVESTIGATION
REFERRED TO MANAGEMENT
REFERRED TO MANAGEMENT
EVIDENCE FAILED TO SUBSTANTIATE
INSUFFICIENT RESOURCES
REFERRED TO JUSTICE
REFERRED TO JUSTICE
REFERRED CDS TO FBI
REFERRED TO MANAGEMENT
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