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Description of document: Securities and Exchange Commission (SEC) Roster of Audit Assignments (Closed), 1997-2009

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Source of document: FOIA Request  
Securities and Exchange Commission  
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Washington, DC 20549  
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[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 2736

July 24, 2009

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552  
Request No. 09-02051-FOIA

Final reference is made to your request for information regarding OIG Audit Reports from 1993 to the present.

After consulting with other Commission staff, we have determined to release the attached roster of audit assignments for the specified timeframe.

If you have any questions, please contact me by email at [sifordm@sec.gov](mailto: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

**SECURITIES AND EXCHANGE COMMISSION  
ROSTER OF AUDIT ASSIGNMENTS (CLOSED)**

Print date : 07/22/2009

ADT SEQ	AUDIT TITLE	REPORT TYPE	DATE STARTED	DATE ISSUED
459	Regulation D Exemption Process	Audit	11/12/2008	03/31/2009
456	Transit Benefit Program	Audit	10/31/2008	03/27/2009
452	Disgorgement Waivers	Audit	06/30/2008	02/03/2009
450	Practices Related to Naked Short Selling Complaints and Referrals	Audit	04/25/2008	03/18/2009
448	Audit of Sensitive Payments	Audit	04/25/2008	03/27/2009
447	Audit of Premium Travel	Audit	04/25/2008	09/29/2008
446-B	SEC's Oversight of Bear Stearns and Related Entities: Broker-Dealer	Audit	04/08/2008	09/25/2008
446-A	SEC's Oversight of Bear Stearns and Related Entities: The CSE Progr	Audit	04/08/2008	09/25/2008
440	PURCHASE CARDS	AUDIT	10/03/2007	09/18/2008
439	STUDENT LOAN PROGRAM	AUDIT	10/01/2007	03/27/2008
438	SRO RULE FILING PROCESS	AUDIT	09/10/2007	03/31/2008
423	ENFORCEMENT PERFORMANCE MANAGEMENT	AUDIT	07/10/2006	02/08/2007
422	FOIA BACKLOG	AUDIT	06/12/2006	03/30/2007
421	INVESTMENT COMPANY FILING INITIATIVES	AUDIT	06/01/2006	09/25/2007
418	TRAVEL CARDS - FOLLOWUP	AUDIT	05/30/2006	07/28/2006
416	FULL DISCLOSURE INTERPRETATIVE GUIDANCE	AUDIT	03/27/2006	03/28/2007
415	OHR - LABOR RELATIONS	AUDIT	11/29/2005	07/13/2006
414	PACIFIC REGIONAL OFFICE	AUDIT	10/24/2005	02/14/2006
413	CONTINUITY OF OPERATIONS PLANNING	AUDIT	10/03/2005	04/21/2006
412	OVERSIGHT OF PCAOB	AUDIT	09/28/2005	09/28/2006
411	SECURITY CERTIFICATION AND ACCREDITATION PROCESS	AUDIT	09/27/2005	09/30/2005
410	SECURITY CERTIFICATION AND ACCREDITATION OF EFOIA	AUDIT	09/27/2005	09/30/2005
409	SECURITY CERTIFICATION AND ACCREDITATION OF ACTS+	AUDIT	09/26/2005	09/30/2005
408	IM EXEMPTIVE APPLICATION PROCESSING	AUDIT	07/13/2005	09/29/2006
406	FEDERAL INFORMATION MANAGEMENT SECURITY ACT - 2005	AUDIT	07/11/2005	09/28/2005
405	IT MANAGEMENT IN ENFORCEMENT	AUDIT	06/16/2005	11/14/2006
404	CONFLICT OF INTEREST CONTROLS IN THE PROCUREMENT F	AUDIT	06/07/2005	06/08/2006
403	OVERSIGHT OF DISGORGEMENTS AND PENALTIES	AUDIT	03/24/2005	01/25/2006
402	OFFICE OF THE SECRETARY	AUDIT	03/24/2005	09/20/2005
401	PRELIMINARY REVIEWS OF DISCLOSURE FILINGS	AUDIT	01/31/2005	06/22/2006
400	REGIONAL IT MANAGEMENT - SERO	AUDIT	11/19/2004	03/24/2005
399	GOVERNMENT PERFORMANCE & RESULTS ACT - 2004	AUDIT	11/15/2004	09/27/2005
398	MANAGEMENT OF WIRELESS COMMUNICATION DEVICES	AUDIT	10/05/2004	03/24/2005
397	SALT LAKE REGIONAL OFFICE	AUDIT	09/28/2004	12/02/2004
396	FORT WORTH DISTRICT OFFICE	AUDIT	09/28/2004	12/03/2004
394	TARGETING B/D COMPLIANCE EXAMINATIONS	AUDIT	08/19/2004	09/22/2005
393	SOFTWARE MANAGEMENT	AUDIT	07/02/2004	03/24/2005
392	REGIONAL INFORMATION TECHNOLOGY MANAGEMENT - PILO	AUDIT	06/28/2004	02/14/2005
391	FEDERAL INFORMATION MANAGEMENT SECURITY ACT - 2004	AUDIT	06/28/2004	10/06/2004
390	ATLANTA DISTRICT OFFICE	AUDIT	06/22/2004	09/29/2004

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ADT SEQ	AUDIT TITLE	REPORT TYPE	DATE STARTED	DATE ISSUED
389	RECRUITMENT, CLASSIFICATION, AND STAFFING	AUDIT	05/26/2004	08/26/2005
388	MIDWEST REGIONAL OFFICE	AUDIT	05/26/2004	08/16/2004
387	PLANNING INVESTMENT MANAGEMENT FILING REVIEWS	AUDIT	04/28/2004	03/29/2005
386	NORTHEAST REGIONAL OFFICE	AUDIT	04/05/2004	08/19/2004
385	OFFICE OF ECONOMIC ANALYSIS	AUDIT	02/10/2004	06/29/2004
384	ENFORCEMENT DISGORGMENT WAIVERS	AUDIT	01/12/2004	01/18/2005
383	TARGETING IA/IC COMPLIANCE EXAMINATIONS	AUDIT	12/13/2003	09/29/2004
382	CENTRAL REGIONAL OFFICE	AUDIT	11/12/2003	02/12/2004
381	ENTERPRISE ARCHITECTURE	AUDIT	10/08/2003	03/31/2004
380	Independent Evaluation & Assessment of Internal Control for Contracto	AUDIT	10/08/2003	03/31/2004
379	COMMISSION WORK/LIFE PROGRAM	AUDIT	09/22/2003	03/29/2004
378	DISCLOSURE FILINGS EXAMINATION AND ACCOUNTING REPO	AUDIT	09/16/2003	09/14/2004
377	LOST AND STOLEN SECURITIES PROGAM	AUDIT	09/12/2003	03/31/2004
376	TELEPHONE CARD PROGRAM	AUDIT	09/04/2003	11/17/2003
375	FEDERAL INFORMATION SECURITY MANAGEMENT ACT - 2003	AUDIT	07/02/2003	09/17/2003
374	SAN FRANCISCO DISTRICT OFFICE	AUDIT	04/29/2003	09/25/2003
373	COMMISSION RESPONSES TO INVESTOR INQUIRIES	AUDIT	04/24/2003	03/29/2004
372	REGULATION OF PUBLIC UTILITY HOLDING COMPANIES	AUDIT	04/24/2003	10/20/2003
371	SMALL BUSINESS REG D EXEMPTION PROCESS	AUDIT	04/17/2003	03/31/2004
370	BOSTON DISTRICT OFFICE	AUDIT	02/27/2003	05/13/2003
369	SOUTHEAST REGIONAL OFFICE	AUDIT	01/23/2003	05/20/2003
368	SEC RECREATION AND WELFARE ASSOCIATION FINANCIAL M	AUDIT	01/09/2003	07/31/2003
366	PHILADELPHIA DISTRICT OFFICE	AUDIT	10/16/2002	01/24/2003
365	IT CAPITAL INVESTMENT DECISION MAKING - FOLLOW-UP	AUDIT	09/10/2002	03/29/2004
364	COMPLIANCE EXAMINATION DEFICIENCY LETTER PROCESS	AUDIT	09/26/2002	09/23/2003
363	STATUTORY DISQUALIFICATION REVIEW PROCESS	AUDIT	09/16/2002	05/13/2003
362	FINANCIAL MANAGEMENT SYSTEM CONTROLS	AUDIT	07/23/2002	03/27/2003
361	COMMISSION WEB SECURITY	AUDIT	07/23/2002	09/30/2002
360	DETECTING SECURITIES RECIDIVISM	AUDIT	07/02/2002	03/17/2003
359	MARKET CONTINGENCY PREPAREDNESS	AUDIT	06/11/2002	01/27/2003
358	2002 INFORMATION SECURITY ACT REVIEW (GISRA)	AUDIT	05/20/2002	09/12/2002
357	PURCHASE CARDS	AUDIT	05/06/2002	11/25/2002
356	PLANNING THE ENFORCEMENT OF F/D RULES	AUDIT	04/08/2002	03/31/2004
355	BANKRUPTCY PROGRAM	AUDIT	03/18/2002	01/31/2003
354	BROKER-DEALER RISK ASSESSMENT PROGRAM	AUDIT	03/04/2002	08/13/2002
353	REGIONAL TELECOMMUNICATIONS SECURITY	AUDIT	02/19/2002	08/29/2002
352	ENFORCEMENT INTERNET PROGRAM	AUDIT	02/19/2002	01/13/2003
351	EDGAR UTILITY TO COMMISSION STAFF	AUDIT	01/07/2002	01/15/2003
350	ADMINISTRATION OF INFORMATION TECHNOLOGY CONTRAC	AUDIT	12/06/2001	08/28/2002
349	TRAVEL MANAGEMENT	AUDIT	11/29/2001	08/12/2002

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ADT SEQ	AUDIT TITLE	REPORT TYPE	DATE STARTED	DATE ISSUED
348	COLLECTION OF FILING FEES	AUDIT	10/23/2001	08/14/2002
347	RULEMAKING PROCESS	AUDIT	10/05/2001	07/12/2002
346	COMMISSION OVERSIGHT OF NAFI	AUDIT	10/05/2001	03/07/2002
345	FORT WORTH DISTRICT OFFICE	AUDIT	09/05/2001	11/16/2001
344	INFORMATION SECURITY ACT REVIEW (GISRA)	AUDIT	06/25/2001	09/05/2001
343	SALT LAKE DISTRICT AUDIT	AUDIT	06/20/2001	09/05/2001
342	PACIFIC REGIONAL OFFICE	AUDIT	06/20/2001	02/25/2002
341	B/D REGISTRATION PROCESS	AUDIT	06/19/2001	09/21/2001
340	CONTRACTOR BACKGROUND INVESTIGATIONS	AUDIT	05/22/2001	08/13/2001
339	STAFF BACKGROUND INVESTIGATIONS	AUDIT	05/22/2001	08/13/2001
338	SECURITY OF PERSONNEL DATA FILES	AUDIT	05/17/2001	08/13/2001
337	IT PROJECT MANAGEMENT	AUDIT	04/25/2001	01/24/2002
335	PRINTING AND PUBLICATIONS	AUDIT	04/12/2001	02/04/2002
333	SENSITIVE INFORMATION - FOLLOW-UP	AUDIT	04/06/2001	03/08/2002
332	NORTHEAST REGIONAL OFFICE	AUDIT	04/06/2001	09/12/2001
331	CATS 2000 DATA	AUDIT	03/08/2001	01/30/2002
330	REAL PROPERTY LEASING	AUDIT	01/11/2001	05/31/2001
329	GPRA PERFORMANCE REPORTS	AUDIT	01/03/2000	03/29/2002
328	CENTRAL REGIONAL OFFICE	AUDIT	11/13/2000	01/17/2001
327	GENERAL COMPUTER CONTROLS - REGIONS	AUDIT	10/27/2000	02/28/2001
326	COMMENT LETTER FOLLOW-UP	AUDIT	10/26/2000	08/15/2001
325	AUDIT FOLLOW-UP PROCEDURES	AUDIT	08/08/2000	09/22/2000
324	DISTRIBUTION OF MAIL	AUDIT	08/08/2000	01/05/2001
323	CLEARANCE PROCESS	AUDIT	06/26/2000	09/29/2000
322	COMPLIANCE EXAMINATION REFERRALS TO ENFORCEMENT	AUDIT	06/20/2000	06/28/2001
321	ATLANTA DISTRICT OFFICE	AUDIT	06/20/2000	09/05/2000
320	GENERAL COMPUTER CONTROLS	AUDIT	05/30/2000	12/26/2000
319	COMMISSIONERS' TRAVEL	AUDIT	02/11/2000	06/23/2000
318	FOIA PROCESS	AUDIT	02/02/2000	03/23/2001
317	GRAMM-LEACH-BLILEY ACT SURVEY	AUDIT	01/12/2000	05/02/2000
316	INVESTMENT MGMT NO ACTION & INTERPRETIVE LETTERS	AUDIT	12/06/1999	09/28/2000
315	OFFICE OF MUNICIPAL SECURITIES	AUDIT	12/06/1999	08/01/2000
314	PAYROLL CONVERSION	AUDIT	12/02/1999	09/22/2000
313	INTEGRITY PROGRAMS	AUDIT	12/02/1999	02/23/2001
312	YEAR 2000 AUDITS - SUMMARY CLOSING REPORT	AUDIT	11/22/1999	12/21/1999
311	DISGORGEMENTS	AUDIT	11/03/1999	01/11/2001
310	BENCHMARKING COMMISSION PROCEDURES	AUDIT	09/28/1999	03/22/2000
309	TELECOMMUNICATION VULNERABILITIES	AUDIT	09/27/1999	03/31/2000
308	EDGAR HARDSHIP EXEMPTIONS	AUDIT	09/17/1999	03/30/2000
307	MIDWEST REGIONAL OFFICE	AUDIT	09/02/1999	10/29/1999

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ADT SEQ	AUDIT TITLE	REPORT TYPE	DATE STARTED	DATE ISSUED
306	EMPLOYEE RELATIONS	AUDIT	07/22/1999	07/27/1999
305	EMPLOYEE TRAINING	AUDIT	07/22/1999	03/31/2000
304	OFFICE OF THE SECRETARY	AUDIT	06/15/1999	11/03/1999
303	INVESTOR & SMALL BUSINESS TOWN MEETINGS	AUDIT	06/15/1999	11/18/1999
302	TARGETING INSPECTIONS & EXAMINATIONS	AUDIT	06/15/1999	09/07/1999
301	OVERSIGHT OF SIPC	AUDIT	06/15/1999	03/31/2000
300	NEW COMMISSIONER ORIENTATION	AUDIT	05/19/1999	01/04/2000
299	DATA BACKUP PROCEDURES	AUDIT	04/09/1999	03/31/2000
298	COMMISSION REVIEW OF PERIODIC REPORTS	AUDIT	04/01/1999	02/23/2000
297	EDGAR Y2K STATUS - MARCH, 1999	AUDIT	03/18/1999	03/19/1999
296	UNIX SECURITY	AUDIT	02/23/1999	09/14/1999
295	WEB SECURITY	AUDIT	02/23/1999	04/14/2000
294	COMMISSIONERS' TRAVEL	AUDIT	02/18/1999	06/08/1999
293	Y2K STATUS REPORT - JANUARY 1999	AUDIT	01/25/1999	01/25/1999
292	SOUTHEAST REGIONAL OFFICE	AUDIT	01/18/1999	03/29/1999
291	YEAR 2000 - NON-INFORMATION TECHNOLOGY	AUDIT	11/16/1998	08/09/1999
290	PROCUREMENT AND CONTRACTING	AUDIT	11/06/1998	09/21/1999
289	OVERSIGHT OF SRO ARBITRATION	AUDIT	10/05/1998	08/24/1999
288	INVESTOR EDUCATION AND ASSISTANCE	AUDIT	10/05/1998	04/25/2000
287	BOSTON DISTRICT OFFICE	AUDIT	08/26/1998	10/23/1998
286	PHILADELPHIA DISTRICT OFFICE	AUDIT	09/16/1998	12/29/1998
285	Y2K STATUS REPORT - AUGUST 1998	AUDIT	08/24/1998	08/24/1998
284	INTERNATIONAL TECHNICAL ASSISTANCE	AUDIT	06/01/1998	10/27/1998
283	GPRA PERFORMANCE MEASURES	AUDIT	04/08/1998	03/16/1999
282	YEAR 2000 - INTERNAL SYSTEMS (NON-OIT)	AUDIT	03/13/1998	12/21/1999
281	TRAVEL UPGRADES	AUDIT	02/27/1998	06/05/1998
280	COMMISSIONERS' TRAVEL	AUDIT	02/27/1998	05/26/1998
279	FORT WORTH DISTRICT OFFICE	AUDIT	02/27/1998	03/30/1998
278	SAN FRANCISCO DISTRICT OFFICE	AUDIT	02/27/1998	03/30/1998
277	SENSITIVE INFORMATION	AUDIT	01/13/1998	05/03/1999
276	ENFORCEMENT ACTION MEMO PROCESS	AUDIT	01/05/1998	03/18/1999
275	YEAR 2000 - EDGAR	AUDIT	12/18/1997	12/21/1999
274	YEAR 2000 - INTERNAL SYSTEMS (OIT)	AUDIT	11/21/1997	12/21/1999
273	REVIEW OF INVESTMENT COMPANY FILINGS	AUDIT	11/21/1997	06/26/1998
272	COMMISSION REVIEW OF SRO RULES	AUDIT	10/21/1997	07/14/1998
271	PROPERTY SYSTEM	AUDIT	08/07/1997	09/25/1998
270	NORTHEAST REGIONAL OFFICE	AUDIT	07/03/1997	01/13/1998
269	DATABASE ADMINISTRATION	AUDIT	06/25/1997	01/05/1998
268	OVERSIGHT OF SRO AUTOMATION	AUDIT	06/24/1997	05/18/1998
267	COMMISSION INTEGRITY PROGRAM	AUDIT	06/10/1997	09/09/1997

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ADT SEQ	AUDIT TITLE	REPORT TYPE	DATE STARTED	DATE ISSUED
266	PACIFIC REGIONAL OFFICE	AUDIT	04/22/1997	09/09/1997
265	SALT LAKE DISTRICT OFFICE	AUDIT	03/31/1997	09/30/1997
264	CENTRAL REGIONAL OFFICE	AUDIT	03/25/1997	07/18/1997
263	PAYROLL SYSTEM	AUDIT	01/21/1997	03/30/1998
262	AUTOMATION OF RECORDS MANAGEMENT	AUDIT	01/03/1997	09/29/1997
261	MARKET REG - INTERPRETATIONS & GUIDANCE	AUDIT	12/31/1996	10/06/1997
260	VALUE ENGINEERING PROGRAM	AUDIT	11/25/1996	05/02/1997
259	REVIEW OF FILINGS - COMMENT LETTERS	AUDIT	11/22/1996	02/02/1998
258	CONTROLS ON GOVERNMENT CREDIT CARDS	AUDIT	11/04/1996	09/30/1997
257	CLIENT SERVER	AUDIT	10/22/1996	09/09/1997
256	ATLANTA DISTRICT OFFICE	AUDIT	10/18/1996	03/21/1997
255	UHT CONTRACT CLOSEOUT	AUDIT	09/05/1996	01/03/1997
254	COMPLIANCE INSPECTIONS & EXAMINATIONS	AUDIT	08/21/1996	03/18/1998
253	ADMINISTRATIVE PROCEEDINGS	AUDIT	08/13/1996	11/07/1997
252	REPORTED MANAGEMENT CONTROL WEAKNESSES	AUDIT	06/12/1996	09/09/1996
251	SURVEY OF ECONOMIC ANALYSIS	AUDIT	06/12/1996	02/07/1997
250	ENHANCING EXCELLENCE - INTEGRITY PROGRAM	AUDIT	03/20/1996	01/22/1997
249	SPACE UTILIZATION	AUDIT	03/19/1996	02/12/1997
248	Investigative Report on Management Issues	AUDIT	03/19/1996	02/25/1998
247	COMMISSION FITNESS PROGRAM	AUDIT	02/21/1996	09/30/1996
246	ENFORCEMENT SURVIELANCE OF MARKETS	AUDIT	02/21/1996	01/07/1997
245	STENOGRAPHIC CONTRACT - PREAWARD	AUDIT	02/21/1996	05/09/1996
244	OFFICE OF FILINGS AND INFO SRVC	AUDIT	02/07/1996	03/20/1997
243	SECOA LOCAL AREA NETWORK	AUDIT	02/07/1996	03/21/1997
242	REGULATION OF INSURANCE PRODUCTS	AUDIT	02/06/1996	10/15/1996
241	ENFORCEMENT SUPPORT REQUIREMENTS	AUDIT	10/20/1995	01/16/1996
240	FINANCIAL MANAGEMENT SYSTEMS CONTROLS	AUDIT	09/25/1995	03/29/1996
239	REVIEW OF MAJOR CONTRACTS	AUDIT	09/18/1995	03/01/1996
238	INTERNATIONAL TELEPHONE SERVICE	AUDIT	09/13/1995	08/27/1996
237	TRANSPORTATION SUBSIDY PROGRAM	AUDIT	09/13/1995	08/21/1996
236	INFORMATION TECHNOLOGY COST SAVINGS	AUDIT	08/25/1995	05/09/1996
235	FCBS CONTRACT-COMMISSION CONTROLS	AUDIT	08/17/1995	10/31/1995
234	COLLECTION OF TRANSACTION FEES	AUDIT	08/04/1995	03/29/1996
233	ENFORCEMENT ADMINISTRATIVE FUNCTIONS	AUDIT	06/29/1995	05/15/1996
232	SURVEY OF SUPPORT OFFICES	AUDIT	06/29/1995	03/22/1996
231	FC BUSINESS SYSTEMS CONTRACTS - CONTRACT	AUDIT	06/29/1995	08/17/1995
230	40 ACT EXEMPTIVE APPLICATIONS	AUDIT	05/11/1995	03/29/1996
229	SELECTION OF FILINGS FOR REVIEW	AUDIT	04/13/1995	08/01/1996
228	INTERAGENCY AGREEMENTS	AUDIT	04/13/1995	02/01/1996
227	EDGAR CONTRACT CLOSEOUT - DCAA	AUDIT	01/31/1995	07/05/1995

**SECURITIES AND EXCHANGE COMMISSION  
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ADT SEQ	AUDIT TITLE	REPORT TYPE	DATE STARTED	DATE ISSUED
226	CONTINGENCY PLANS FOR PABX AND DATACENTER	AUDIT	01/31/1995	07/31/1995
225	COLLECTION OF FILING FEES	AUDIT	01/24/1995	02/08/1996
224	EQUAL EMPLOYMENT OPPORTUNITY PROGRAM	AUDIT	01/04/1995	11/02/1995
223	CONTRACTOR LOBBYING STAUTE - 1994	AUDIT	12/16/1994	01/17/1995
222	SURVEY OF PERSONNEL MANAGEMENT	AUDIT	10/31/1994	06/15/1995
221	OFFICE OF SPACE RENOVATION	AUDIT	10/31/1994	12/28/1994
220	IRM PLANNING AND EXECUTION	AUDIT	10/07/1994	03/26/1996
219	ADMINISTRATIVE MANAGEMENT SURVEY	AUDIT	10/05/1994	04/24/1995
218	CONTROLS ON NEGOTIATED SETTLEMENTS	AUDIT	09/22/1994	09/26/1995
217	FINANCIAL MANAGEMENT SURVEY	AUDIT	09/15/1994	01/24/1995
216	MIDWEST REGIONAL OFFICE	AUDIT	08/24/1994	02/02/1995
215	BANKRUPTCY PROGRAM	AUDIT	08/15/1994	06/19/1995
214	SURVEY OF INFORMATION TECHNOLOGY	AUDIT	08/08/1994	02/07/1995
213	FILING ACTIVITY TRACKING SYSTEM	AUDIT	07/18/1994	12/12/1994
212	SOUTHEAST REGIONAL OFFICE	AUDIT	07/01/1994	12/30/1994
211	PHILADELPHIA DISTRICT OFFICE	AUDIT	04/26/1994	09/29/1994
210	SPACE RENOVATION CONTRACTING	AUDIT	03/29/1994	09/29/1994
209	SURVEY OF LEGAL SERVICES	AUDIT	03/17/1994	08/15/1994
208	COMPUTER DISASTER CONTINGENCY TESTS	AUDIT	01/07/1994	03/31/1994
207	INTEGRITY OF THE ADV DATABASE	AUDIT	01/07/1994	04/06/1994
206	CONSULTING SERVICES CONTRACTS - 1993	AUDIT	11/19/1993	03/08/1994
205	CONTRACTOR LOBBYING STATUTE - 1993	AUDIT	11/19/1993	02/22/1994
204	MANAGEMENT CONTROL PROGRAM - 1993	AUDIT	10/20/1993	03/25/1994
203	CONFIDENTIAL TREATMENT OF FILING DATA	AUDIT	09/30/1993	08/17/1994
202	INVESTOR COMPLAINTS AND INQUIRIES	AUDIT	09/15/1993	09/29/1994
201	CONTROLS OVER COMMERCIAL DATABASES	AUDIT	09/14/1993	06/10/1994
200	MARKET CONTINGENCY PREPAREDNESS	AUDIT	09/14/1993	02/09/1995
199	MITCHELL SYSTEMS CONTRACT CLOSEOUT	AUDIT	09/03/1993	03/30/1994
198	FOLLOWUP OF IAIC INSPECTION DEFICIENCIES	AUDIT	07/23/1993	02/22/1994
197	RELIABILITY OF IM CHIEF COUNSEL LOGS	AUDIT	07/23/1993	03/09/1994
196	AUTHORITY TO INVESTIGATE & LITIGATE	AUDIT	05/25/1993	08/16/1994
194	BROKER/DEALER EXAMINATION WORKPAPERS	AUDIT	02/16/1993	10/20/1993
193	1992 MANAGEMENT CONTROL PROGRAM	AUDIT	11/30/1992	04/20/1993
192	CONSULTING SERVICES CONTRACTS - 1992	AUDIT	11/30/1992	05/26/1993
191	CONTRACTOR LOBBYING STATUTE - 1992	AUDIT	11/30/1992	04/01/1993
190	RELIABILITY OF B/D EXAM DATA IN EATS	AUDIT	11/19/1992	08/18/1993
186	EMPLOYEE PARKING FACILITIES PROGRAM	AUDIT	10/19/1992	05/04/1993
182	CONTRACTING WITH EXPERT WITNESSES	AUDIT	05/07/1992	03/29/1993
181	NRSI DATA INTEGRITY	AUDIT	05/01/1992	04/23/1993
179	FEDERAL EMPLOYEES' COMPENSATION ACT	AUDIT	03/20/1992	02/24/1993



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<b>ADT SEQ</b>	<b>AUDIT TITLE</b>	<b>REPORT TYPE</b>	<b>DATE STARTED</b>	<b>DATE ISSUED</b>
177	BUDGET PLANNING, FORMULATION, & EXECUTION	AUDIT	02/18/1992	02/24/1993
168	CIVIL PENALTY REPORTING	AUDIT	07/16/1991	09/30/1993
159	AUDIT OF LOCAL AREA NETWORKS	AUDIT	12/10/1990	02/16/1993