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Description of document: List of Securities and Exchange Commission (SEC)
Inspector General (OIG) investigations closed
CY 2015 – CY 2016

Requested date: 25-December-2016

Released date: 21-January-2017

Posted date: 07-August-2017

Source of document: FOIA Request
Securities and Exchange Commission
100 F Street NE
Mail Stop 2465
Washington D.C. 20549
Fax: 202-772-9337
[Online Request for Copies of Documents](#)

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

Office of FOIA Services

January 31, 2017

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 17-00009-OIG

This is in response to your December 25, 2016 request for a "copy or printout of the list of SEC Office of Inspector General investigations closed during calendar year 2015 and calendar year 2016."

Access is granted in part to the attached single page .pdf file. Certain information is exempt from disclosure under 5 U.S.C. § 552(b)(6) and (7)(C), 17 CFR § 200.80(b)(6) and (7)(iii). Under Exemption 6 release of this information would constitute a clearly unwarranted invasion of personal privacy. Under Exemption 7(C) release of this information could reasonably be expected to constitute an unwarranted invasion of personal privacy, and could subject SEC staff identified in the records to harassment from the public in the performance of their official duties and in their private lives.

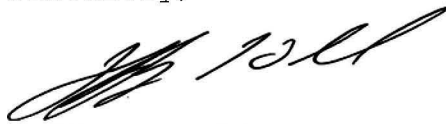
I am the deciding official with regard to this adverse determination. You have the right to appeal my decision to the SEC's General Counsel under 5 U.S.C. § 552(a)(6), 17 CFR § 200.80(d)(5)(iv). The appeal must be received within ninety (90) calendar days of the date of this adverse decision. Your appeal must be in writing, clearly marked "Freedom of Information Act Appeal," and should identify the requested records. 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.

You also have the right to seek assistance from me as a FOIA Public Liaison or contact the Office of Government Information Services (OGIS) for dispute resolution services. OGIS can be reached at 1-877-684-6448 or <https://ogis.archives.gov/?p=/ogis/index.html>.

If you have any questions, please contact me at ovallj@sec.gov or (202) 551-6376. You may also contact me at foiapa@sec.gov or (202) 551-7900.

Sincerely,

A handwritten signature in black ink, appearing to read 'J. Ovall', written in a cursive style.

Jeffery Ovall
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: All Regions

For the Period Between: 01/01/2015 and 12/31/2016

CLOSED CASES

NUMBER	TITLE	AGENT	REGION	OFFICE	DATE
14-ENF-0004-I	(b)(6),(b)(7)(C)		ISB	Investigative Support Branch	2/11/2015
14-OFM-0010-I			INV Branch 2	Investigative Branch 2	8/21/2015
14-ENF-0014-I			INV Branch 1	Investigation Branch 1	6/12/2015
14-ENF-0016-I			ISB	Investigative Support Branch	2/11/2015
14-OFM-0031-I			INV Branch 1	Investigation Branch 1	4/21/2015
14-ENF-0037-I			INV Branch 1	Investigation Branch 1	2/23/2015
14-ENF-0046-I			ISB	Investigative Support Branch	2/11/2015
14-CIE-0050-I			Investigations	Investigations	7/13/2015
14-OSO-0075-I			INV Branch 2	Investigative Branch 2	10/22/2015
14-ENF-0142-I			INV Branch 1	Investigation Branch 1	6/24/2015
14-EEO-0234-I			INV Branch 2	Investigative Branch 2	5/19/2015
14-OSO-0523-I			INV Branch 2	Investigative Branch 2	9/18/2015
14-CHA-0538-I			INV Branch 2	Investigative Branch 2	6/24/2015
14-CIE-0539-I			INV Branch 1	Investigation Branch 1	8/20/2015
14-OFM-0543-I			INV Branch 1	Investigation Branch 1	2/3/2015
14-ENF-0552-I			INV Branch 1	Investigation Branch 1	5/21/2015
14-ENF-0660-I	USIS DATA BREACH	(b)(6),(b)(7)(C)	INV Branch 2	Investigative Branch 2	4/28/2015
14-OIG-0688-I	MISUSE OF SEC SEAL AND IG SIGNATURE		INV Branch 1	Investigation Branch 1	4/28/2015
14-ENF-0726-I	NONPUBLIC INFORMATION DISCLOSURE		INV Branch 2	Investigative Branch 2	7/17/2015
14-CIE-0727-I	(b)(6),(b)(7)(C)		INV Branch 1	Investigation Branch 1	9/29/2015
14-DTM-0814-I			INV Branch 1	Investigation Branch 1	5/1/2015
14-OIT-0851-I			INV Branch 2	Investigative Branch 2	8/21/2015
14-OSO-0853-I			INV Branch 2	Investigative Branch 2	9/8/2015
15-CHA-0079-I			INV Branch 2	Investigative Branch 2	5/19/2015
15-CIE-0455-I			INV Branch 2	Investigative Branch 2	9/18/2015
15-OIG-0488-I	OIG	(b)(6),(b)(7)(C)	INV Branch 2	Investigative Branch 2	7/20/2015
14-OFM-0001-I	(b)(6),(b)(7)(C)		INV Branch 2	Investigative Branch 2	3/1/2016
14-CIE-0007-I			INV Branch 1	Investigation Branch 1	9/29/2016
14-OCA-0015-I			INV Branch 1	Investigation Branch 1	3/23/2016
14-ENF-0023-I			INV Branch 2	Investigative Branch 2	3/18/2016
14-ENF-0033-I			INV Branch 1	Investigation Branch 1	9/30/2016
14-CIE-0073-I			INV Branch 2	Investigative Branch 2	3/29/2016
14-ENF-0210-I			INV Branch 1	Investigation Branch 1	9/20/2016
14-ENF-0231-I			INV Branch 2	Investigative Branch 2	9/29/2016
14-ENF-0584-I			INV Branch 2	Investigative Branch 2	2/25/2016
14-DIM-0702-I			INV Branch 1	Investigation Branch 1	5/26/2016
14-ERA-0741-I			Investigations	Investigations	9/16/2016
14-HR-0779-I			INV Branch 1	Investigation Branch 1	9/22/2016
14-ENF-0813-I			INV Branch 1	Investigation Branch 1	3/30/2016
14-ZZZ-0825-I	EN POINTE GOV INC.	(b)(6),(b)(7)(C)	INV Branch 1	Investigation Branch 1	9/22/2016
14-CIE-0832-I	(b)(6),(b)(7)(C) ET AL		INV Branch 1	Investigation Branch 1	10/11/2016
14-ENF-0850-I			INV Branch 2	Investigative Branch 2	3/29/2016
14-CIE-0866-I	FOUR POINTS CAPITAL PARTNERS, LLC		INV Branch 1	Investigation Branch 1	3/25/2016
15-OIA-0177-I			INV Branch 1	Investigation Branch 1	9/9/2016
15-OSO-0204-I	(b)(6),(b)(7)(C)		INV Branch 2	Investigative Branch 2	1/12/2016
15-ENF-0273-I			INV Branch 2	Investigative Branch 2	3/9/2016
15-ENF-0290-I			INV Branch 1	Investigation Branch 1	6/27/2016
15-COM-0419-I	CSC NONPUBLIC INFORMATION DISCLOSURE		INV Branch 1	Investigation Branch 1	9/30/2016
15-AIJ-0482-I	ADMINISTRATIVE LAW JUDGES		INV Branch 1	Investigation Branch 1	3/31/2016
16-ZZZ-0175-I			INV Branch 1	Investigation Branch 1	9/14/2016
16-OIT-0178-I	(b)(6),(b)(7)(C)		Investigations	Investigations	11/2/2016
16-COM-0209-I			Investigations	Investigations	9/15/2016
16-OEC-0373-I	UNNAMED		Investigations	Investigations	9/27/2016
16-ENF-0449-I	(b)(6),(b)(7)(C)		INV Branch 1	Investigation Branch 1	9/13/2016