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SEC
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Washington, DC 20549
Fax: 202-772-9337
Email: foiapa@sec.gov
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

July 31, 2020

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 20-01155-FOIA

This letter responds to your request, dated February 23, 2020 and received in this office on March 2, 2020, for a "listing of Inspector General investigations closed during Calendar Years 2018 and 2019."

Access is granted to the enclosed three (3) pages of records¹ that may be responsive to your request, except for information which is exempt from disclosure under 5 U.S.C. § 552(b)(6) and 7(C) for the following reasons.

Under Exemption 6 the release of this type of information would constitute a clearly unwarranted invasion of personal privacy. Under Exemption 7(C) release of such information could reasonably be expected to constitute an unwarranted invasion of personal privacy. Moreover, the release of SEC staff names could conceivably subject the employees 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(f)(1). 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.

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¹ Page three appears different from the others because the Office of Inspector General recently switched to a different case management database.

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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.

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 and should not be taken as an indication that excluded records do, or do not, exist.

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. You may also contact the SEC's FOIA Public Service Center at foiapa@sec.gov or (202) 551-7900. For more information about the FOIA Public Service Center and other options available to you please see the attached addendum.

Sincerely,

A handwritten signature in black ink, appearing to read "L. Katilius". The signature is fluid and cursive, with a large initial "L" and a stylized "K".

Lizzette Katilius
FOIA Branch Chief

Enclosures

ADDENDUM

For further assistance you can contact a SEC FOIA Public Liaison by calling (202) 551-7900 or visiting <https://www.sec.gov/oso/help/foia-contact.html>.

SEC FOIA Public Liaisons are supervisory staff within the Office of FOIA Services. They can assist FOIA requesters with general questions or concerns about the SEC's FOIA process or about the processing of their specific request.

In addition, you may also contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA dispute resolution services it offers. OGIS can be reached at 1-877-684-6448 or via e-mail at ogis@nara.gov. Information concerning services offered by OGIS can be found at their website at [Archives.gov](https://www.archives.gov). Note that contacting the FOIA Public Liaison or OGIS does not stop the 90-day appeal clock and is not a substitute for filing an administrative appeal.

Investigation Management Information System
Closed Investigations 1/1/2018 to 9/30/2019

CASE	TITLE	STATUS	DATE	DATE
			OPENED	CLOSED
14-ENF-0098-I	(b)(6);(b)(7)(C)	Closed	08/24/13	01/11/18
14-OIT-0021-I		Closed	11/15/13	08/13/18
14-ENF-0011-I		Closed	11/27/13	03/28/18
14-ENF-0175-I		Closed	03/21/14	07/23/18
14-ENF-0561-I		Closed	06/17/14	03/14/18
14-DTM-0772-I		Closed	08/12/14	06/14/18
14-ENF-0849-I		Closed	09/26/14	04/29/18
14-ENF-0842-I	(b)(6);(b)(7)(C) INVEST NY (SEC IMPERSONATION)	Closed	10/14/14	02/27/18
15-OIT-0106-I	(b)(6);(b)(7)(C)	Closed	01/05/15	03/28/18
15-ENF-0127-I		Closed	01/16/15	08/29/18
15-OIT-0149-I	SUMMIT INFORMATION SOLUTIONS	Closed	01/28/15	06/27/19
15-ENF-0518-I	(b)(6);(b)(7)(C)	Closed	08/10/15	03/26/18
15-ENF-0596-I	RECOVERY SCAM	Closed	08/31/15	09/20/18
16-COM-0049-I	(b)(6);(b)(7)(C)	Closed	12/03/15	01/30/18
16-DCF-0072-I		Closed	12/09/15	03/13/19
16-ZZZ-0265-I	(b)(6);(b)(7)(C) (IMPERSONATION)	Closed	02/22/16	09/13/19
16-OIT-0366-I	(b)(6);(b)(7)(C)	Closed	05/09/16	03/12/18
16-HR-0437-I		Closed	05/09/16	07/10/19
16-CIE-0500-I		Closed	05/24/16	01/05/18
16-DCF-0548-I		Closed	05/26/16	01/11/18
16-OIT-0636-I		Closed	07/05/16	06/04/18
16-OOA-0458-I		Closed	07/07/16	02/25/19
16-ERA-0546-I		Closed	07/07/16	11/27/18
16-OIT-0829-I		Closed	09/22/16	09/25/18
16-CIE-0825-I		Closed	09/30/16	05/30/18
16-CIE-0826-I		Closed	09/30/16	01/19/18
17-ALJ-0008-I	ALLEGED TRANSMISSION OF NONPUBLIC INFORMATION TO PERSONAL EMAIL ACCOUNTS	Closed	10/07/16	02/27/19
17-ZZZ-0194-I	SUBJECT UNKNOWN (b)(6);(b)(7)(C)	Closed	01/30/17	09/26/18
17-ENF-0222-I	LEAK OF SEC INVESTIGATION INTO TESLA	Closed	02/03/17	04/12/18
16-ENF-0851-I	(b)(6);(b)(7)(C)	Closed	04/27/17	01/28/19
17-ENF-0431-I	(b)(6);(b)(7)(C)	Closed	05/11/17	05/14/19
17-ENF-0453-I	FIN7 AND EDGAR IMPERSONATION	Closed	05/19/17	09/26/18
17-DCF-0412-I	FITBIT FALSE EDGAR FILING	Closed	05/30/17	09/06/18

17-OSO-0519-I	(b)(6);(b)(7)(C)		Closed	06/16/17	03/26/18
17-ENF-0706-I			Closed	08/31/17	01/10/18
17-HR-0703-I			Closed	09/07/17	08/12/19
17-OSO-0714-I	FWG SOLUTIONS, INC.		Closed	10/04/17	06/01/18
18-OIT-0031-I	NONPUBLIC EDGAR INFORMATION LEAK		Closed	10/13/17	02/13/18
18-ENF-0092-I	(b)(6);(b)(7)(C)		Closed	11/13/17	03/26/18
18-ENF-0253-I	TANGOE, INC.		Closed	12/21/17	08/08/18
18-OIG-0263-I	ACQUISITION TASK FORCE SPECIAL PROJECT INITIATIVE		Closed	12/29/17	09/27/18
18-AIJ-0316-I	(b)(6);(b)(7)(C)		Closed	01/26/18	07/23/18
18-ZZZ-0345-I	MISCONDUCT ALLEGATIONS		Closed	02/08/18	02/21/18
18-ZZZ-0353-I	(b)(6);(b)(7)(C)		Closed	02/23/18	09/21/18
18-ZZZ-0496-I	(b)(6);(b)(7)(C)		Closed	04/16/18	11/27/18
18-OIT-0575-I	(b)(6);(b)(7)(C)		Closed	06/05/18	12/18/18
18-ENF-0659-I			Closed	06/05/18	08/02/18
18-ENF-0656-I			Closed	06/06/18	03/27/19
18-ENF-0611-I	TELEGRAM.ORG		Closed	06/12/18	12/18/18
18-CIE-0712-I	CHERRY STREET PARTNERS		Closed	06/18/18	09/20/18
18-ENF-0709-I	(b)(6);(b)(7)(C)		Closed	07/13/18	03/29/19
18-ZZZ-0835-I	(b)(6);(b)(7)(C)		Closed	08/27/18	09/24/19
18-OOA-0833-I	FRAUDULENT PROCUREMENT: FORGED ONEOIT DOCUMENTS		Closed	09/04/18	08/28/19
18-ENF-0872-I	(b)(6);(b)(7)(C)		Closed	09/14/18	11/20/18
18-ZZZ-0844-I	INSTITUTE OF WEALTH MANAGEMENT		Closed	09/20/18	06/27/19
19-OIG-0142-I	INTELLECTUAL PROPERTY RIGHTS COORDINATION CENTER INITIATIVE		Closed	11/07/18	09/30/19
19-ENF-0141-I	(b)(6);(b)(7)(C)		Closed	11/08/18	07/10/19
19-CIE-0231-I	SKIHAWK CAPITAL PARTNERS, LLC		Closed	12/10/18	06/27/19
19-ZZZ-0236-I	DIGITALTOWN, INC. (DGTW) /	(b)(6);(b)(7)(C)	Closed	12/18/18	09/19/19
19-OIT-0304-I	POTENTIAL EXPOSURE OF SEC NONPUBLIC INFORMATION		Closed	02/20/19	09/16/19
19-ZZZ-0316-I	(b)(6);(b)(7)(C)		Closed	03/04/19	05/16/19
19-ZZZ-0467-I			Closed	04/04/19	07/09/19
19-ZZZ-0835-I			Closed	07/03/19	09/20/19

Case Managment & Tracking System

Closed Investigations 10/1/2019 to 12/31/2019

Number	Title	Date Initiated	Date Closed	Current Status	Specific 1
19-OSO-0018-I	(b)(6);(b)(7)(C)	04/09/2019	11/06/2019	CLOSED - FINAL	MISUSE OF GOVERNMENT COMPUTERS/SOFTWARE
19-ENF-0027-I	Disclosure of Nonpublic Information by SEC Official - (b)(6);(b)(7)(C)	12/20/2016	12/13/2019	CLOSED - FINAL	Criminal - Employee Misconduct