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Description of document: Securities and Exchange Commission (SEC) List of closed SEC OIG Investigations, 2020

Requested date: 19-January-2021

Release date: 11-February-2021

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Source of document: FOIA Request
100 F Street NE
Mail Stop 2465
Washington D.C. 20549
Fax: 202-772-9337

Preferred during COVID-19 pandemic:
Email: foiapa@sec.gov
[Online Request Form](#)

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

Office of FOIA Services

February 11, 2021

RE: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. **21-00006-OIG**

This is the final response to your January 19, 2021 request for a list of SEC Office of Inspector General (OIG) investigations closed in CY 2020.

In coordinating with the OIG I was able to locate the attached spreadsheet consisting of 30 lines. Access is granted in full to these records.

If you have any questions, you can contact me at sifordm@sec.gov or (202)551-7201. 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 "Mark P. Siford".

Mark P. Siford
Counsel to the Director/Chief FOIA Officer
Office of Support Operations

Attachment

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.

Cases Closed Final Status		
01/25/2021		
Start Range:	1/1/2020	
End Range:	12/31/2020	
Number	Date Initiated	Date Closed
20-ZZZ-0022-I	03/19/2020	05/05/2020
20-ZZZ-0005-I	11/22/2019	07/30/2020
20-SEC-0027-I	04/28/2020	08/13/2020
20-SEC-0016-I	02/04/2020	06/17/2020
19-SEC-0014-I	10/17/2017	01/13/2020
20-OSO-0033-I	05/26/2020	12/03/2020
20-OSO-0012-I	01/15/2020	05/14/2020
19-OSO-0008-I	01/28/2019	03/24/2020
19-OIT-0004-I	08/06/2019	07/27/2020
20-OCA-0008-I	01/10/2020	05/28/2020
19-OAQ-0002-I	08/16/2017	03/26/2020
19-ERA-0034-I	02/07/2019	03/24/2020
19-ERA-0007-I	01/28/2019	08/14/2020
20-ENF-0023-I	03/19/2020	05/19/2020
20-ENF-0017-I	02/04/2020	06/02/2020
20-ENF-0009-I	01/13/2020	05/07/2020
20-ENF-0004-I	11/07/2019	03/24/2020
19-ENF-0038-I	10/29/2018	06/22/2020
19-ENF-0035-I	09/18/2019	01/10/2020
19-ENF-0023-I	10/29/2018	08/26/2020
19-ENF-0009-I	10/04/2017	06/03/2020
19-ENF-0001-I	06/08/2018	07/29/2020
19-COO-0011-I	09/25/2019	08/17/2020
20-CIE-0028-I	04/30/2020	12/15/2020