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Description of document: Securities and Exchange Commission (SEC) Inspector General (OIG) Investigations Closed in 2021 and 2022

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Source of document: FOIA Request  
Securities and Exchange Commission  
Inspector General  
100 F Street NE  
Mail Stop 2465  
Washington D.C. 20549  
Fax: 202-772-9337  
[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

February 13, 2023

RE: Freedom of Information Act (FOIA), 5 U.S.C. § 552  
Request No. **23-00008-OIG**

This letter is in response to your request, dated and received in this office on January 18, 2023, for "a copy of the listing/printout of investigations closed by the SEC Office of Inspector General during CY 2021 and CY 2022. I would like to receive at minimum, these fields: case number, allegation text, open date, closed date, and, if possible, whether or not substantiated."

The search for responsive records has resulted in the retrieval of the enclosed spreadsheet that may be responsive to your request. Please note that all available fields have been provided. The record is being provided to you in its entirety.

If you have any questions, please contact me at [taylorf@sec.gov](mailto:taylorf@sec.gov) or (202) 551-8349. You may also contact me at [foiapa@sec.gov](mailto:foiapa@sec.gov) or (202) 551-7900. You may also contact the SEC's FOIA Public Service Center at [foiapa@sec.gov](mailto: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 cursive script that reads "Felecia Taylor".

Felecia Taylor  
FOIA Lead Research Specialist

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](mailto:ogis@nara.gov). Information concerning services offered by OGIS can be found at their website at [Archives.gov](http://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.

## Case Data

Number	Date Initiated	Date Closed	Specific 1	Specific 2	Additional Specifics
22-ZZZ-0004-I	11/22/2021	04/26/2022	FALSE CLAIMS		
21-ZZZ-0022-I	05/26/2021	07/07/2022	CONTRACT FRAUD		
21-ZZZ-0016-I	01/28/2021	07/30/2021	UNAUTHORIZED ACCESS/DISCLOSURE/REMOV AL NONPUBLIC INFO		
19-ZZZ-0017-I	11/14/2017	06/10/2022	FALSE STATEMENT - Non- Employee	OBSTRUCTION	
19-ZZZ-0013-I	02/01/2019	09/08/2021	MISUSE OF SEC NAME OR SEAL	WIRE FRAUD - Non- Employee	External Threat Initiative, MISUSE OF SEC NAME OR SEAL
21-SEC-0034-I	09/02/2021	01/11/2022	External Threat Initiative	OBSTRUCTION	FALSE STATEMENT - Non-Employee
21-SEC-0033-I	09/01/2021	09/03/2021	External Threat Initiative	FALSE STATEMENT - Non- Employee	
21-SEC-0031-I	08/17/2021	05/05/2022	Breaching the safety or security of a SEC program or operation		External Threat Initiative, Subversion of SEC Exam or Investigation
21-SEC-0020-I	04/14/2021	07/11/2022	IMPERSONATION		
21-SEC-0019-I	03/29/2021	11/22/2021	OBSTRUCTION	[None]	DESTRUCTION/LOSS OF GOVERNMENT PROPERTY, Criminal - Employee Misconduct, ADMINISTRATIVE - EMPLOYEE MISCONDUCT, FAILURE TO COOPERATE WITH OIG
21-SEC-0010-I	12/23/2020	09/29/2022	IMPERSONATION		
20-SEC-0045-I	09/28/2020	08/31/2021	External Threat Initiative		
20-SEC-0026-I	03/23/2020	01/20/2022	External Threat Initiative	FALSE STATEMENT - Non- Employee	
20-SEC-0006-I	12/10/2019	11/22/2021	OTHER -CRIMINAL		
19-SEC-0033-I	06/21/2019	05/04/2022	DESTRUCTION OF GOVERNMENT PROPERTY	THEFT/EMBEZZLEMENT- GOVERNMENT FUNDS OR PROPERTY	
19-SEC-0022-I	03/15/2019	08/13/2021	[None]		
19-SEC-0021-I	08/08/2016	08/12/2021	External Threat Initiative	FALSE STATEMENT - Non- Employee	

## Case Data

Number	Date Initiated	Date Closed	Specific 1	Specific 2	Additional Specifics
22-OSO-0001-I	10/05/2021	12/07/2022	FALSE STATEMENT - Employee	WHISTLEBLOWER - RETALIATION BY MANAGEMENT	ADMINISTRATIVE - EMPLOYEE MISCONDUCT, POOR OR IMPROPER MANAGEMENT PRACTICES
21-OSO-0013-I	01/12/2021	09/30/2022	FALSE STATEMENT - Employee		FALSE STATEMENT - Non-Employee
20-OSO-0024-I	03/20/2020	03/18/2021	SEXUAL HARASSMENT		
22-OIT-0030-I	09/01/2022	11/23/2022	THEFT/EMBEZZLEMENT- GOVERNMENT FUNDS OR PROPERTY		
21-OIT-0037-I	09/21/2021	03/31/2022	TIME AND ATTENDANCE FRAUD	FALSE STATEMENT - Employee	
20-OIT-0040-I	06/26/2020	07/06/2021	THEFT/EMBEZZLEMENT- GOVERNMENT FUNDS OR PROPERTY	DAMAGE/LOSS OF GOVERNMENT PROPERTY	
20-OIT-0034-I	05/28/2020	05/06/2021	THEFT/EMBEZZLEMENT- GOVERNMENT FUNDS OR PROPERTY		
20-OIT-0030-I	05/05/2020	01/06/2021	CONTRACT FRAUD	FALSE CLAIMS	
20-OIT-0020-I	03/19/2020	08/04/2022	UNAUTHORIZED ACCESS/DISCLOSURE/REMOV AL NONPUBLIC INFO		BRIBE/GRATUITY, AFFECTING PERSONAL FINANCE, PREFERENTIAL TREATMENT, CONTRACT FRAUD, INSIDER THREAT, ADMINISTRATIVE - EMPLOYEE MISCONDUCT, POOR OR IMPROPER MANAGEMENT PRACTICES, PROHIBITED PERSONNEL PRACTICES
20-OIT-0010-I	01/14/2020	04/15/2021	CONTRACT FRAUD		
19-OIT-0032-I	05/14/2019	10/13/2021	COMPUTER CRIMES		MISUSE OF SEC NAME OR SEAL
19-OIT-0030-I	05/08/2019	08/04/2022	[None]		
19-OIT-0029-I	12/20/2018	04/28/2021	COMPUTER INTRUSION - EXTERNAL		
19-OIT-0019-I	09/27/2017	06/30/2021	COMPUTER INTRUSION - EXTERNAL		

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Number	Date Initiated	Date Closed	Specific 1	Specific 2	Additional Specifics
19-OIT-0012-I	07/25/2019	07/15/2022	FALSE STATEMENT - Non-Employee	FALSE CLAIMS	
19-OIT-0005-I	06/03/2016	07/14/2021	[None]		
21-OIG-0017-I	02/04/2021	10/20/2021	PROHIBITED HOLDING		
21-OIG-0002-I	10/08/2020	11/29/2021	HARDWARE INTEGRITY		CONTRACT FRAUD
20-OIG-0039-I	06/19/2020	01/06/2021	ADMINISTRATIVE - EMPLOYEE MISCONDUCT		
21-OHR-0001-I	10/05/2020	04/16/2021	UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL of PII	PRIVACY ACT VIOLATION	
20-OHR-0021-I	03/19/2020	07/09/2021	UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL NONPUBLIC INFO		
22-OAQ-0003-I	11/17/2021	08/17/2022	ETHICAL VIOLATION	CONTRACT FRAUD	THREAT or ASSAULT, WHISTLEBLOWER - RETALIATION BY MANAGEMENT, POOR OR IMPROPER MANAGEMENT PRACTICES
22-EXA-0016-I	06/06/2022	09/28/2022	OTHER -CRIMINAL		OTHER -CRIMINAL
22-EXA-0011-I	04/22/2022	11/22/2022	UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL NONPUBLIC INFO		
21-EXA-0036-I	09/21/2021	03/21/2022	SEXUAL HARASSMENT		
21-EXA-0025-I	05/26/2021	11/29/2021	ADMINISTRATIVE - EMPLOYEE MISCONDUCT		ADMINISTRATIVE - EMPLOYEE MISCONDUCT
21-EXA-0024-I	05/26/2021	11/15/2021	ADMINISTRATIVE - EMPLOYEE MISCONDUCT		ADMINISTRATIVE - EMPLOYEE MISCONDUCT
21-EXA-0018-I	03/18/2021	07/15/2022	TIME AND ATTENDANCE FRAUD		
21-ERA-0032-I	08/25/2021	01/26/2022	UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL NONPUBLIC INFO		

## Case Data

Number	Date Initiated	Date Closed	Specific 1	Specific 2	Additional Specifics
20-ERA-0043-I	09/28/2020	07/14/2021	UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL NONPUBLIC INFO	UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL of PII	
20-ERA-0038-I	06/11/2020	09/01/2021	THEFT/EMBEZZLEMENT-GOVERNMENT FUNDS OR PROPERTY	ETHICAL VIOLATION	POST EMPLOYMENT
22-ENF-0021-I	07/06/2022	09/23/2022	ETHICAL VIOLATION	AFFECTING PERSONAL FINANCE	
22-ENF-0014-I	05/03/2022	09/21/2022	Insider Trading		Other - Securities Law Violation
22-ENF-0006-I	12/09/2021	04/20/2022	COMPUTER INTRUSION - EXTERNAL		
21-ENF-0028-I	07/20/2021	09/07/2021	OBSTRUCTION	External Threat Initiative	
21-ENF-0014-I	01/13/2021	07/14/2021	Insider Trading	CONFLICT OF INTEREST	
21-ENF-0007-I	11/09/2020	06/14/2022	External Threat Initiative		
21-ENF-0004-I	11/05/2020	07/01/2021	UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL NONPUBLIC INFO	UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL of PII	
20-ENF-0037-I	06/11/2020	06/06/2022	External Threat Initiative		
20-ENF-0031-I	05/06/2020	04/16/2021	Off duty misconduct	ETHICAL VIOLATION	
20-ENF-0015-I	01/30/2020	06/23/2022	MISUSE OF GOVERNMENT COMPUTERS/SOFTWARE		Subversion of SEC Exam or Investigation
20-ENF-0002-I	10/31/2019	02/22/2021	IMPERSONATION		
19-ENF-0031-I	09/26/2019	09/29/2022	MISUSE OF SEC NAME OR SEAL	WIRE FRAUD - Non-Employee	External Threat Initiative
19-ENF-0028-I	09/18/2019	09/24/2021	External Threat Initiative		
19-ENF-0026-I	10/19/2017	12/08/2021	External Threat Initiative		External Threat Initiative
19-ENF-0025-I	11/07/2018	07/20/2021	UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL NONPUBLIC INFO		

## Case Data

Number	Date Initiated	Date Closed	Specific 1	Specific 2	Additional Specifics
19-ENF-0024-I	10/10/2018	02/25/2021	OBSTRUCTION	FALSE STATEMENT - Non-Employee	
19-ENF-0015-I	09/24/2019	11/10/2021	Criminal - Employee Misconduct	ETHICAL VIOLATION	
19-EDG-0010-I	09/10/2019	12/09/2021	Breaching the safety or security of a SEC program or operation		
19-DIM-0020-I	05/30/2018	08/17/2021	CONFLICT OF INTEREST	ETHICAL VIOLATION	BRIBE/GRATUITY
21-DCF-0038-I	09/28/2021	09/27/2022	FALSE CLAIMS		
21-COM-0026-I	06/09/2021	09/23/2021	ETHICAL VIOLATION		
21-COM-0023-I	05/26/2021	01/18/2022	IMPERSONATION		IMPERSONATION, COMPUTER CRIMES
21-COM-0015-I	01/25/2021	06/17/2021	UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL NONPUBLIC INFO		
21-COM-0012-I	12/23/2020	01/12/2022	IMPERSONATION		
20-COM-0025-I	03/23/2020	01/25/2022	IMPERSONATION		IMPERSONATION
21-CIE-0009-I	12/23/2020	04/22/2021	ADMINISTRATIVE - EMPLOYEE MISCONDUCT		Criminal - Employee Misconduct, ADMINISTRATIVE - EMPLOYEE MISCONDUCT, POOR OR IMPROPER MANAGEMENT PRACTICES
21-CIE-0005-I	11/09/2020	01/18/2022	IMPERSONATION		
21-CIE-0003-I	10/16/2020	10/25/2021	POOR OR IMPROPER MANAGEMENT PRACTICES	NON-CRIMINAL	FALSE STATEMENT - Employee, Employment Misrepresentation, Falsification of employment documents, PERSONNEL/LABOR RELATIONS ISSUE
20-CIE-0029-I	05/05/2020	04/14/2021	ETHICAL VIOLATION	TIME AND ATTENDANCE FRAUD	TIME AND ATTENDANCE FRAUD, ADMINISTRATIVE - EMPLOYEE MISCONDUCT, FAILURE TO REPORT MISCONDUCT BY ANOTHER EMPLOYEE, MISUSE OF GOVERNMENT SUPPLIES/EQUIPMENT (NON-COMPUTER), MISUSE OF GOVERNMENT CREDIT CARD (Travel/Purchase), PERSONNEL/LABOR RELATIONS ISSUE



<b>Number</b>	<b>Date Initiated</b>	<b>Date Closed</b>	<b>Specific 1</b>	<b>Specific 2</b>	<b>Additional Specifics</b>
<b>19-CIE-0003-I</b>	03/08/2019	09/08/2021	ADMINISTRATIVE - EMPLOYEE MISCONDUCT		
<b>22-CHA-0002-I</b>	10/20/2021	10/11/2022	Employment Misrepresentation		FALSE STATEMENT - Employee, Employment Misrepresentation, Falsification of employment documents, ADMINISTRATIVE - EMPLOYEE MISCONDUCT
<b>21-CHA-0008-I</b>	11/09/2020	09/20/2021	COMPUTER INTRUSION - EXTERNAL		
<b>20-CHA-0014-I</b>	01/16/2020	09/05/2021	UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL NONPUBLIC INFO		
<b>20-CHA-0011-I</b>	01/14/2020	01/05/2021	UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL NONPUBLIC INFO		