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

Office of FOIA Services

March 10, 2025

RE: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. **25-00010-OIG**

This is the final response to your February 10, 2025 request for "a list of the SEC Office of Inspector General investigations closed during calendar years 2023 and 2024. The records should include information for each investigation, specifically the case number, the subject of the investigation, the category of the investigation, the open date, and the closing date."

Access is granted in part to the attached spreadsheet. Information within the column indicating "subject" is being withheld under 5 U.S.C. § 552(b)(6) and (7)(C). Under Exemption 6 the release of the information would constitute a clearly unwarranted invasion of personal privacy. Under Exemption 7(C) disclosure could reasonably be expected to constitute an unwarranted invasion of personal privacy. Further, public identification of SEC staff could conceivably subject them to harassment and annoyance in the conduct of their official duties and in their private lives.

I am the deciding official with regard to this 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.

March 10, 2025

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.

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,



Mark P. Siford
Attorney Adviser
Office of FOIA Services

Attachment

March 10, 2025

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.

OIG Investigations

Number	Date Closed	Subject	Open Date	Priority Area
19-ENF-0016-I	5/20/2024	Exemptions b6 & b7c	9/9/2016	P2-Program Integrity > OTHER -CRIMINAL
19-ENF-0039-I	2/6/2023	Exemptions b6 & b7c	9/20/2018	P2-Program Integrity > FALSE STATEMENT - Non-Employee > External Threat Initiative
19-OAQ-0037-I	7/6/2023	Integration Technologies Group, Inc	8/12/2019	P2-Program Integrity > QUI TAM
20-ENF-0003-I	1/4/2023	Exemptions b6 & b7c	11/7/2019	P1-Employee Integrity > TIME AND ATTENDANCE FRAUD
20-ENF-0013-I	3/30/2023	Exemptions b6 & b7c	1/15/2020	P2-Program Integrity > FALSE STATEMENT - Non-Employee
20-OCR-0019-I	2/14/2023	Exemptions b6 & b7c	3/2/2020	P1-Employee Integrity > FALSE STATEMENT - Employee
20-OIT-0035-I	9/29/2023	Exemptions b6 & b7c	6/3/2020	P3-Information Integrity > UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL NONPUBLIC INFO > UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL of PII
20-ENF-0042-I	4/28/2023	Exemptions b6 & b7c	9/13/2020	P2-Program Integrity > IMPERSONATION > WIRE FRAUD - Non-Employee
21-OAQ-0006-I	1/5/2024	Exemptions b6 & b7c	11/9/2020	P1-Employee Integrity > ETHICAL VIOLATION
21-OAQ-0021-I	10/13/2023	FNU LNU	4/26/2021	P2-Program Integrity > IMPERSONATION > CONTRACT FRAUD
21-IAD-0027-I	3/1/2023	Exemptions b6 & b7c	7/14/2021	P1-Employee Integrity > FALSE STATEMENT - Employee > POOR OR IMPROPER MANAGEMENT PRACTICES
21-ZZZ-0029-I	6/30/2023	Exemptions b6 & b7c	7/20/2021	P2-Program Integrity > IMPERSONATION
21-OSO-0030-I	12/22/2023	Exemptions b6 & b7c	8/11/2021	P1-Employee Integrity > ADMINISTRATIVE - EMPLOYEE MISCONDUCT
21-OSO-0035-I	6/6/2023	Exemptions b6 & b7c	9/17/2021	P1-Employee Integrity > TIME AND ATTENDANCE FRAUD
22-SEC-0005-I	6/2/2023	FNU LNU	11/22/2021	P3-Information Integrity > UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL NONPUBLIC INFO
22-SEC-0007-I	2/8/2023	Exemptions b6 & b7c	2/23/2022	P2-Program Integrity > External Threat Initiative > Subversion of SEC Exam or Investigation
22-EXA-0010-I	5/16/2024	Exemptions b6 & b7c	4/12/2022	P1-Employee Integrity > CONFLICT OF INTEREST
22-SEC-0009-I	5/12/2023	Exemptions b6 & b7c	4/12/2022	P2-Program Integrity > External Threat Initiative
22-ERA-0012-I	1/12/2023	Exemptions b6 & b7c	4/25/2022	P1-Employee Integrity > FALSE STATEMENT - Employee > Employment Misrepresentation
22-OIG-0013-I	1/26/2023	Exemptions b6 & b7c	4/29/2022	P1-Employee Integrity > ETHICAL VIOLATION > PROHIBITED HOLDING
22-SEC-0015-I	8/9/2023	Exemptions b6 & b7c	5/10/2022	P2-Program Integrity > External Threat Initiative
22-OPA-0017-I	4/11/2024	Exemptions b6 & b7c	6/9/2022	P1-Employee Integrity > FALSE STATEMENT - Employee
22-ENF-0019-I	5/22/2023	Exemptions b6 & b7c	6/13/2022	P3-Information Integrity > UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL NONPUBLIC INFO
22-SEC-0020-I	4/1/2024	FNU LNU	6/30/2022	P1-Employee Integrity > OTHER - FRAUD/THEFT > FALSE CLAIMS
22-ENF-0022-I	3/10/2023	Exemptions b6 & b7c	7/8/2022	P2-Program Integrity > External Threat Initiative > OBSTRUCTION
22-CHA-0023-I	9/30/2024	FNU LNU	7/19/2022	P2-Program Integrity > Breaching the safety or security of a SEC program or operation
22-DCF-0028-I	12/13/2024	Exemptions b6 & b7c	7/19/2022	P1-Employee Integrity > ETHICAL VIOLATION > CONFLICT OF INTEREST
22-ENF-0027-I	5/8/2024	Exemptions b6 & b7c	7/19/2022	P1-Employee Integrity > FAILURE TO COOPERATE WITH OIG > FAILURE TO REPORT MISCONDUCT BY ANOTHER EMPLOYEE
22-OWB-0025-I	8/10/2023	Exemptions b6 & b7c	7/19/2022	P1-Employee Integrity > TIME AND ATTENDANCE FRAUD > FALSE STATEMENT - Employee
22-SEC-0024-I	1/4/2023	fnu lnu	7/19/2022	P2-Program Integrity > External Threat Initiative
22-SEC-0029-I	10/22/2024	Exemptions b6 & b7c	8/29/2022	P2-Program Integrity > WIRE FRAUD - Non-Employee > THEFT/EMBEZZLEMENT-GOVERNMENT FUNDS OR PROPERTY
22-OWB-0031-I	9/28/2023	Exemptions b6 & b7c	9/13/2022	P1-Employee Integrity > FALSE STATEMENT - Employee > FAILURE TO COOPERATE WITH OIG
23-SEC-0001-I	6/7/2023	Exemptions b6 & b7c	10/25/2022	P1-Employee Integrity > Criminal - Employee Misconduct
23-SEC-0002-I	6/20/2023	Capital Growth Market	10/25/2022	P2-Program Integrity > IMPERSONATION > MISUSE OF SEC NAME OR SEAL
23-CHA-0003-I	2/21/2023	Exemptions b6 & b7c	11/21/2022	P1-Employee Integrity > THREAT or ASSAULT

OIG Investigations

23-ENF-0004-I	1/17/2023	Manhattan Transfer Registrar Company	1/9/2023	P2-Program Integrity > External Threat Initiative > OBSTRUCTION
23-ZZZ-0005-I	2/15/2023	Exemptions b6 & b7c	1/27/2023	P1-Employee Integrity > THREAT or ASSAULT
23-SEC-0006-I	2/28/2023	Exemptions b6 & b7c	2/6/2023	P2-Program Integrity > IMPERSONATION > MISUSE OF SEC NAME OR SEAL
23-ENF-0008-I	10/19/2023	Exemptions b6 & b7c	3/7/2023	P3-Information Integrity > UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL of PII
23-OAQ-0010-I	5/24/2023	Exemptions b6 & b7c	4/6/2023	P2-Program Integrity > CONTRACT FRAUD > FALSE CLAIMS
23-ENF-0012-I	7/6/2023	Exemptions b6 & b7c	6/21/2023	P1-Employee Integrity > THREAT or ASSAULT
23-EXA-0014-I	6/28/2023	Exemptions b6 & b7c	6/27/2023	P1-Employee Integrity > TIME AND ATTENDANCE FRAUD > FALSE STATEMENT - Employee
23-OWB-0013-I	12/22/2023	Exemptions b6 & b7c	6/27/2023	P3-Information Integrity > UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL NONPUBLIC INFO > UNAUTHORIZED ACCESS/DISCLOSURE/REMOVAL of PII
23-EXA-0015-I	9/27/2023	Exemptions b6 & b7c	7/6/2023	P1-Employee Integrity > CONFLICT OF INTEREST > AFFECTING PERSONAL FINANCE
24-OHR-0002-I	8/23/2024	Exemptions b6 & b7c	10/17/2023	P1-Employee Integrity > NON-CRIMINAL > ADMINISTRATIVE - EMPLOYEE MISCONDUCT
24-ENF-0003-I	3/12/2024	Exemptions b6 & b7c	11/9/2023	P1-Employee Integrity > ADMINISTRATIVE - EMPLOYEE MISCONDUCT
24-ZZZ-0004-I	3/27/2024	Exemptions b6 & b7c	11/15/2023	P2-Program Integrity > External Threat Initiative > FALSE STATEMENT - Non-Employee
24-OAQ-0005-I	1/30/2024	Exemptions b6 & b7c	12/14/2023	P1-Employee Integrity > CONTRACT FRAUD
24-COO-0006-I	2/23/2024	Exemptions b6 & b7c	1/10/2024	P1-Employee Integrity > THREAT or ASSAULT
24-OSO-0009-I	4/17/2024	Exemptions b6 & b7c	1/18/2024	P1-Employee Integrity > ETHICAL VIOLATION > AFFECTING PERSONAL FINANCE
24-DCF-0010-I	7/2/2024	Exemptions b6 & b7c	2/5/2024	P1-Employee Integrity > CONFLICT OF INTEREST > POST EMPLOYMENT
24-ENF-0013-I	4/18/2024	Exemptions b6 & b7c	3/28/2024	P1-Employee Integrity > FALSE STATEMENT - Employee > Employment Misrepresentation
24-ENF-0015-I	6/14/2024	Exemptions b6 & b7c	5/14/2024	P1-Employee Integrity > CONFLICT OF INTEREST > FALSE CLAIMS
24-DTM-0016-I	11/18/2024	Exemptions b6 & b7c	6/14/2024	P1-Employee Integrity > ADMINISTRATIVE - EMPLOYEE MISCONDUCT
24-EXA-0017-I	10/9/2024	Exemptions b6 & b7c	6/27/2024	P1-Employee Integrity > ADMINISTRATIVE - EMPLOYEE MISCONDUCT
24-EXA-0018-I	11/21/2024	Exemptions b6 & b7c	7/3/2024	P1-Employee Integrity > [None]