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Report Date	Agency Reviewed / Investigated	Title	Type	Location
01/23/2023	Securities and Exchange Commission	Inspector General's FY 2022 Letter to OMB on SEC's Implementation of Purchase Card Program Audit Recommendations	Audit	Agency-Wide
12/19/2022	Securities and Exchange Commission	SEC's Whistleblower Program: Additional Actions Are Needed To Better Prepare for Future Program Growth, Increase Efficiencies, and Enhance Program Management, Report No. 575	Audit	Agency-Wide
11/21/2022	Securities and Exchange Commission	Semiannual Report to Congress: April 1, 2022, through September 30, 2022	Semiannual Report	Agency-Wide
11/15/2022	Securities and Exchange Commission	Fiscal Year 2022 Independent Evaluation of the SEC's Implementation of the Federal Information Security Modernization Act of 2014, Report No. 574	Inspection / Evaluation	Agency-Wide
10/13/2022	Securities and Exchange Commission	The Inspector General's Statement on the SEC's Management and Performance Challenges, October 2022	Top Management Challenges	Agency-Wide
09/29/2022	Securities and Exchange Commission	Final Management Letter: Changes to the Internal Review Process for Proposed Rules May Impact the Office of the Advocate for Small Business Capital Formation and the Office of the Investor Advocate	Audit	Agency-Wide
08/30/2022	Securities and Exchange Commission	OASB Complied With Statutory Requirements But Can Improve As It Matures, Report No. 573	Inspection / Evaluation	Agency-Wide
08/29/2022	Securities and Exchange Commission	Findings Related to the Former SEC Ombudsman	Investigation	Agency-Wide
08/25/2022	Securities and Exchange Commission	Interim Body Worn Camera Policy	Other	Agency-Wide
07/13/2022	Securities and Exchange Commission	Results of the Inspector General's Fiscal Year 2021 Purchase and Travel Card Program Risk Assessment	Audit	Agency-Wide
06/22/2022	Securities and Exchange Commission	Final Management Letter: Evaluation of the SEC's FY 2021 Compliance With the Payment Integrity Information Act of 2019	Inspection / Evaluation	Agency-Wide
05/27/2022	Securities and Exchange Commission	Semiannual Report to Congress: October 1, 2021 through March 31, 2022	Semiannual Report	Agency-Wide
02/28/2022	Securities and Exchange Commission	The SEC Can Improve in Several Areas Related to Hiring, Report No. 572	Audit	Agency-Wide
01/26/2022	Securities and Exchange Commission	Inspector General's FY 2021 Letter to OMB on SEC's Implementation of Purchase Card Program Audit Recommendations	Audit	Agency-Wide
01/25/2022	Securities and Exchange Commission	Registered Investment Adviser Examinations: EXAMS Has Made Progress To Assess Risk and Optimize Limited Resources, But Could Further Improve Controls Over Some Processes, Report No. 571	Audit	Agency-Wide
12/21/2021	Securities and Exchange Commission	Fiscal Year 2021 Independent Evaluation of the SEC's Implementation of the Federal Information Security Modernization Act of 2014, Report No. 570	Inspection / Evaluation	Agency-Wide
12/08/2021	Securities and Exchange Commission	Semiannual Report to Congress: April 1, 2021, through September 30, 2021	Semiannual Report	Agency-Wide
10/28/2021	Securities and Exchange Commission	Audit of the SEC's Compliance With the Digital Accountability and Transparency Act for Fiscal Year 2021, Report No. 569	Audit	Agency-Wide
10/08/2021	Securities and Exchange Commission	The Inspector General's Statement on the SEC's Management and Performance Challenges, October 2021	Top Management Challenges	Agency-Wide
09/29/2021	Securities and Exchange Commission	Additional Steps Are Needed For the SEC To Implement a Well-Defined Enterprise Architecture, Report No. 568	Audit	Agency-Wide
09/24/2021	Securities and Exchange Commission	Peer Review: System Review Report on the Securities and Exchange Commission's Office of Inspector General Audit Organization	Review	Agency-Wide
09/17/2021	Securities and Exchange Commission	DERA Staff Research and Publications Support the SEC's Mission, But Related Controls and Agency-wide Communication and Coordination Could Be Improved, Report No. 567	Audit	Agency-Wide

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08/26/2021	Securities and Exchange Commission	Review for Racial and Ethnic Disparities in the SEC's Issuance of Corrective and Disciplinary Actions from January 1, 2017 - August 31, 2020	Other	Agency-Wide
08/03/2021	Securities and Exchange Commission	Final Management Letter: Review of the SEC's Compliance With CISA ED 21-01 and Initial Response to the SolarWinds Compromise	Audit	Agency-Wide
07/08/2021	Securities and Exchange Commission	DOJ Press Release: Disbarred Attorney Pleads Guilty To Securities Fraud In Connection With Fraudulent Opinion Letter Scheme	Other	Agency-Wide
05/28/2021	Securities and Exchange Commission	Semiannual Report to Congress: October 1, 2020 to March 31, 2021	Semiannual Report	Agency-Wide
05/24/2021	Securities and Exchange Commission	Final Management Letter: Actions May Be Needed To Improve Processes for Receiving and Coordinating Investor Submissions	Inspection / Evaluation	Agency-Wide
03/19/2021	Securities and Exchange Commission	Final Management Letter: Evaluation of SEC's FY 2020 Compliance With the Payment Integrity Information Act of 2019	Inspection / Evaluation	Agency-Wide
02/24/2021	Securities and Exchange Commission	The SEC Has Taken Steps to Strengthen Its Monitoring of ISS Contractor's Performance, But Additional Actions Are Needed, Report No. 565	Audit	Agency-Wide
02/24/2021	Securities and Exchange Commission	The SEC Can Further Strengthen the Tips, Complaints, and Referrals Program, Report No. 566	Audit	Agency-Wide
02/17/2021	Securities and Exchange Commission	SEC OIG 2020 FEVS Announcement	Other	Agency-Wide
01/26/2021	Securities and Exchange Commission	Inspector General's FY2020 Letter to OMB on SEC's Implementation of Purchase Card Program Audit Recommendations	Audit	Agency-Wide
01/13/2021	Securities and Exchange Commission	The SEC's OIEA Could Benefit From Increased Coordination, Additional Performance Metrics, and Formal Strategic Planning, Report No. 564	Audit	Agency-Wide
12/21/2020	Securities and Exchange Commission	Fiscal Year 2020 Independent Evaluation of SEC's Implementation of the Federal Information Security Modernization Act of 2014, Report No. 563	Inspection / Evaluation	Agency-Wide
12/02/2020	Securities and Exchange Commission	DOJ Press Release: Licensed Attorney And Disbarred Attorney Charged With Securities Fraud For Roles In Fraudulent Opinion Letter Scheme	Other	Agency-Wide
11/25/2020	Securities and Exchange Commission	Semiannual Report to Congress: April 1, 2020, through September 30, 2020	Semiannual Report	Agency-Wide
10/20/2020	Securities and Exchange Commission	External Peer Review Report for the SEC OIG Inspection and Evaluation Function	Other	Agency-Wide
10/08/2020	Securities and Exchange Commission	The Inspector General's Statement on the SEC's Management and Performance Challenges, October 2020	Top Management Challenges	Agency-Wide
09/30/2020	Securities and Exchange Commission	Opportunities Exist To Improve the SEC's Management of Mobile Devices and Services, Report No. 562	Audit	Agency-Wide
07/10/2020	Securities and Exchange Commission	SEC Press Release: SEC Proposes Amendments to Update Form 13F for Institutional Investment Managers; Amend Reporting Threshold to Reflect Today's Equities Markets	Other	Agency-Wide
06/29/2020	Securities and Exchange Commission	SEC Press Release: SEC Updates Filing Threshold to Rule 17h Reporting Requirements for Broker-Dealers	Other	Agency-Wide
05/29/2020	Securities and Exchange Commission	Semiannual Report to Congress: October 1, 2019, through March 31, 2020	Semiannual Report	Agency-Wide
04/27/2020	Securities and Exchange Commission	Evaluation of the SEC's FY 2019 Compliance with the Improper Payments Elimination and Recovery Act of 2010, Report No. 561	Audit	Agency-Wide
04/02/2020	Securities and Exchange Commission	United States Attorney for the District of Columbia Timothy J. Shea Announces Launch of Metropolitan Area COVID-19 Anti-Fraud Task Force	Investigation	Agency-Wide
03/31/2020	Securities and Exchange Commission	Results of the Inspector General's Fiscal Year 2019 Purchase Card Program Risk Assessment	Audit	Agency-Wide

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03/30/2020	Securities and Exchange Commission	Controls Over the SEC's Travel Charge Card Program Could Be Strengthened To More Fully Comply With Requirements and Maximize Benefits, Report No. 560	Audit	Agency-Wide
02/28/2020	Securities and Exchange Commission	Biotech Officer Sentenced for Securities Fraud and Obstruction of SEC Proceeding	Investigation	Agency-Wide
02/26/2020	Securities and Exchange Commission	The SEC's Office of Broker-Dealer Finances Provides Effective Oversight, But Opportunities to Improve Efficiency Exist, Report No. 559	Inspection / Evaluation	Agency-Wide
12/19/2019	Securities and Exchange Commission	Inspector General's FY 2019 Letter to OMB on SEC's Implementation of Purchase Card Program Audit Recommendations	Other	Agency-Wide
12/18/2019	Securities and Exchange Commission	Fiscal Year 2019 Independent Evaluation of SEC's Implementation of the Federal Information Security Modernization Act of 2014, Report No. 558	Inspection / Evaluation	Agency-Wide
12/17/2019	Securities and Exchange Commission	Final Management Letter: Evaluation of the U.S. Securities and Exchange Commission's Delinquent Filings Program	Inspection / Evaluation	Agency-Wide
12/02/2019	Securities and Exchange Commission	Semiannual Report: April 1, 2019 to September 30, 2019	Semiannual Report	Agency-Wide
11/07/2019	Securities and Exchange Commission	The SEC Can More Strategically and Securely Plan, Manage, and Implement Cloud Computing Services, Report No. 556	Audit	Agency-Wide
11/04/2019	Securities and Exchange Commission	Audit of the SEC's Compliance With the Digital Accountability and Transparency Act for Fiscal Year 2019, Report No. 557	Audit	Agency-Wide
10/28/2019	Securities and Exchange Commission	DOJ Press Release: Biotech Company CEO Convicted of Securities Fraud and Obstruction	Investigation	Agency-Wide
10/07/2019	Securities and Exchange Commission	The Inspector General's Statement on the SEC's Management and Performance Challenges, October 2019	Top Management Challenges	Agency-Wide
09/30/2019	Securities and Exchange Commission	SEC OIG Strategic Plan for Fiscal Years 2019 - 2024	Other	Agency-Wide
09/19/2019	Securities and Exchange Commission	The SEC Has Processes to Manage Information Technology Investments But Improvements Are Needed, Report No. 555	Audit	Agency-Wide
05/31/2019	Securities and Exchange Commission	The SEC Can Better Manage Administrative Aspects of the ISS Contract, Report No. 554	Audit	Agency-Wide
05/31/2019	Securities and Exchange Commission	Semiannual Report to Congress October 1, 2018 to March 31, 2019	Semiannual Report	Agency-Wide
05/23/2019	Securities and Exchange Commission	Final Management Letter: Update on the SEC's Progress Toward Redesigning the Electronic Data Gathering, Analysis, and Retrieval System	Other	Agency-Wide
04/29/2019	Securities and Exchange Commission	Although Highly Valued by End Users, DERA Could Improve Its Analytics Support by Formally Measuring Impact, Where Possible, Report No. 553	Audit	Agency-Wide
03/26/2019	Securities and Exchange Commission	DOJ Press Release: Owner of South Bay Law Firm and Office Manager Charged with Committing Large-Scale Immigration Visa Fraud	Investigation	Agency-Wide
03/04/2019	Securities and Exchange Commission	Results of the Inspector General's Fiscal Year 2018 Purchase Card Program Risk Assessment	Audit	Agency-Wide
02/14/2019	Securities and Exchange Commission	The SEC's Compliance with Improper Payments Requirements for Fiscal Year 2018	Audit	Agency-Wide
02/08/2019	Securities and Exchange Commission	DOJ Press Release: Biotech Company Employee Pleads Guilty to Securities Fraud Charges	Investigation	Agency-Wide
12/17/2018	Securities and Exchange Commission	Fiscal Year 2018 Independent Evaluation of SEC's Implementation of the Federal Information Security Modernization Act of 2014, Report No. 552	Inspection / Evaluation	Agency-Wide
11/27/2018	Securities and Exchange Commission	Inspector General's FY 2018 Letter to OMB on SEC's Implementation of Purchase Card Program Audit Recommendations	Other	Agency-Wide

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Report Date	Agency Reviewed / Investigated	Title	Type	Location
10/05/2018	Securities and Exchange Commission	The Inspector General's Statement on the SEC's Management and Performance Challenges, October 2018	Top Management Challenges	Agency-Wide
09/24/2018	Securities and Exchange Commission	TCP Established Method To Effectively Oversee Entity Compliance With Regulation SCI But Could Improve Aspects of Program Management, Report No. 551	Audit	Agency-Wide
09/21/2018	Securities and Exchange Commission	Evaluation of the EDGAR System's Governance and Incident Handling Processes, Report No. 550	Audit	Agency-Wide
09/11/2018	Securities and Exchange Commission	The SEC Made Progress But Work Remains To Address Human Capital Management Challenges and Align With the Human Capital Framework, Report No. 549	Audit	Agency-Wide
09/11/2018	Securities and Exchange Commission	The SEC Should Take Action to Strengthen Its Management of Electronic Information Sources, Data Sources, and Print Materials, Report No. 548	Audit	Agency-Wide
09/05/2018	Securities and Exchange Commission	External Peer Review Report on U.S. Securities and Exchange Commission Office of Inspector General Audit Organization	Other	Agency-Wide
06/15/2018	Securities and Exchange Commission	Audit of the SEC's Internal Controls for Retaining External Experts and Foreign Counsel for the Division of Enforcement, Report No. 547	Audit	Agency-Wide
05/25/2018	Securities and Exchange Commission	Semiannual Report to Congress October 1, 2017 to March 31, 2018	Semiannual Report	Agency-Wide
03/30/2018	Securities and Exchange Commission	Audit of the SEC's Compliance With the Federal Information Security Modernization Act for Fiscal Year 2017, Report No. 546	Audit	Agency-Wide
03/28/2018	Securities and Exchange Commission	Results of the Inspector General's Fiscal Year 2017 Purchase Card Program Risk Assessment	Audit	Agency-Wide
03/23/2018	Securities and Exchange Commission	Inspector General's Report on the U.S. Securities and Exchange Commission's Fiscal Year 2017 Compliance with the Improper Payments Information Act	Audit	Agency-Wide
12/01/2017	Securities and Exchange Commission	Semiannual Report to Congress April 1, 2017 to September 30, 2017	Semiannual Report	Agency-Wide
11/28/2017	Securities and Exchange Commission	Inspector General's FY 2017 Letter to OMB on SEC's Implementation of Purchase Card Program Audit Recommendations	Other	Agency-Wide
11/07/2017	Securities and Exchange Commission	Audit of the SEC's Compliance with the Digital Accountability and Transparency Act for Fiscal Year 2017, Report No. 545	Audit	Agency-Wide
10/05/2017	Securities and Exchange Commission	The Inspector General's Statement on the SEC's Management and Performance Challenges, October 2017	Top Management Challenges	Agency-Wide
09/29/2017	Securities and Exchange Commission	Audit of the SEC's Management of Its Data Centers, Report No. 543	Audit	Agency-Wide
09/28/2017	Securities and Exchange Commission	Audit of the SEC's Progress in Enhancing and Redesigning the Electronic Data Gathering, Analysis, and Retrieval System, Report No. 544	Audit	Agency-Wide
09/13/2017	Securities and Exchange Commission	Evaluation of the Division of Corporation Finance's Disclosure Review and Comment Letter Process, Report 542	Inspection / Evaluation	Agency-Wide
08/24/2017	Securities and Exchange Commission	Review of Certain Actions Taken by Commissioner Michael Piwowar as Acting Chairman	Other	Agency-Wide
07/21/2017	Securities and Exchange Commission	Audit of the Office of Compliance Inspections and Examinations' Investment Adviser Examination Completion Process, Report No. 541	Audit	Agency-Wide
05/31/2017	Securities and Exchange Commission	Final Management Letter: Progress on the SEC's Tips, Complaints, and Referrals Intake and Resolution System Redesign and Vulnerability Remediation Efforts	Other	Agency-Wide
05/19/2017	Securities and Exchange Commission	DOJ Press Release: Virginia Man Arrested And Charged In Manhattan Federal Court With \$100 Million Market Manipulation Scheme Involving Fitbit Stock	Other	Agency-Wide
05/09/2017	Securities and Exchange Commission	DOJ Press Release: Former SEC Employee Pleads Guilty to Making False Statements Designed to Conceal Prohibited Trading	Other	Agency-Wide

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05/05/2017	Securities and Exchange Commission	Semiannual Report to Congress October 1, 2016 to March 31, 2017	Semiannual Report	Agency-Wide
04/20/2017	Securities and Exchange Commission	DOJ Press Release: Connecticut Financial Advisor Sentenced for Obstructing SEC Investigation	Other	Agency-Wide
03/27/2017	Securities and Exchange Commission	Results of Inspector General's Fiscal Year 2016 Purchase Card Program Risk Assessment	Other	Agency-Wide
03/27/2017	Securities and Exchange Commission	Audit of the Division of Corporation Finance's Management of Requests for No-Action and Interpretive Letters, Exemptions, and Waivers, Report No. 540	Audit	Agency-Wide
03/22/2017	Securities and Exchange Commission	Inspector General's Review of the SEC's FY 2016 Compliance with the Improper Payments Information Act	Review	Agency-Wide
03/07/2017	Securities and Exchange Commission	Audit of the SEC's Compliance with the Federal Information Security Modernization Act for Fiscal Year 2016, Report No. 539	Audit	Agency-Wide
01/11/2017	Securities and Exchange Commission	Inspector General's FY 2016 Letter to OMB on SEC's Implementation of Purchase Card Program Audit Recommendations	Other	Agency-Wide
11/14/2016	Securities and Exchange Commission	Semiannual Report to Congress April 1, 2016 to September 30, 2016	Semiannual Report	Agency-Wide
11/02/2016	Securities and Exchange Commission	Final Management Letter - Readiness Review of the SEC's Progress Toward Compliance with the DATA Act of 2014	Review	Agency-Wide
09/30/2016	Securities and Exchange Commission	Audit of the SEC's Information Technology Requirements-Gathering Process, Report No. 538	Audit	Agency-Wide
09/23/2016	Securities and Exchange Commission	Audit of the SEC's Process for Reviewing Self-Regulatory Organizations' Proposed Rule Changes, Report No. 537	Audit	Agency-Wide
09/19/2016	Securities and Exchange Commission	OIG Strategic Plan for Fiscal Years 2017 - 2019	Other	Agency-Wide
08/19/2016	Securities and Exchange Commission	Final Closeout Memorandum: Audit of the SEC's Hiring Practices	Audit	Agency-Wide
08/11/2016	Securities and Exchange Commission	Inspector General's Report on Covered Systems	Other	Agency-Wide
06/30/2016	Securities and Exchange Commission	Final Management Letter: Evaluation of the SEC Division of Enforcement's Coordination Related to a Federal Civil Action	Audit	Agency-Wide
06/22/2016	Securities and Exchange Commission	Management of the SEC's Protective Security Force Contract Needs Improvement, Report No. 536	Audit	Agency-Wide
06/02/2016	Securities and Exchange Commission	Audit of the SEC's Compliance with the Federal Information Security Modernization Act for Fiscal Year 2015, Report No. 535	Audit	Agency-Wide
05/24/2016	Securities and Exchange Commission	Semiannual Report to Congress October 1, 2015 to March 31, 2016	Semiannual Report	Agency-Wide
03/31/2016	Securities and Exchange Commission	Results of Inspector General's Fiscal Year 2015 Purchase Card Program Risk Assessment	Other	Agency-Wide
03/31/2016	Securities and Exchange Commission	Audit of the SEC's Student Loan Repayment Program, Report No. 534	Audit	Agency-Wide
03/10/2016	Securities and Exchange Commission	Office of Compliance Inspections and Examinations' Management of Investment Adviser Examination Coverage Goals, Report No. 533	Audit	Agency-Wide
02/11/2016	Securities and Exchange Commission	Improvements Needed in Oversight of SEC-Sponsored Conferences, Report No. 532	Audit	Agency-Wide
02/09/2016	Securities and Exchange Commission	Inspector General's Review of the SEC's FY 2015 Compliance with the Improper Payments Information Act	Review	Agency-Wide
01/27/2016	Securities and Exchange Commission	Review of the SEC's Pay Transition Program	Other	Agency-Wide
01/21/2016	Securities and Exchange Commission	Final Report of Investigation, Administrative Law Judges	Investigation	Agency-Wide

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01/07/2016	Securities and Exchange Commission	Inspector General's Statement on the SEC's Management and Performance Challenges, October 2016	Top Management Challenges	Agency-Wide
01/05/2016	Securities and Exchange Commission	Inspector General's FY 2015 Letter to OMB on SEC's Implementation of Purchase Card Program Audit Recommendations	Other	Agency-Wide
12/29/2015	Securities and Exchange Commission	Peer Review: System Review Report on the Securities and Exchange Commission's Office of Inspector General Audit Organization	Other	Agency-Wide
11/18/2015	Securities and Exchange Commission	Semiannual Report to Congress April 1, 2015 to September 30, 2015	Semiannual Report	Agency-Wide
05/26/2015	Securities and Exchange Commission	Semiannual Report to Congress October 1, 2014 to March 31, 2015	Semiannual Report	Agency-Wide
11/25/2014	Securities and Exchange Commission	Semiannual Report to Congress April 1, 2014 to September 30, 2014	Semiannual Report	Agency-Wide
05/23/2014	Securities and Exchange Commission	Semiannual Report to Congress October 1, 2013 to March 31, 2014	Semiannual Report	Agency-Wide
11/26/2013	Securities and Exchange Commission	Semiannual Report to Congress April 1, 2013 to September 30, 2013	Semiannual Report	Agency-Wide
05/30/2013	Securities and Exchange Commission	Semiannual Report to Congress October 1, 2012 to March 31, 2013	Semiannual Report	Agency-Wide

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