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Report Date	Agency Reviewed / Investigated	Title	Type	Location
05/30/2013	Securities and Exchange Commission	Semiannual Report to Congress October 1, 2012 to March 31, 2013	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
05/23/2014	Securities and Exchange Commission	Semiannual Report to Congress October 1, 2013 to March 31, 2014	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
05/26/2015	Securities and Exchange Commission	Semiannual Report to Congress October 1, 2014 to March 31, 2015	Semiannual Report	Agency-Wide
11/18/2015	Securities and Exchange Commission	Semiannual Report to Congress April 1, 2015 to September 30, 2015	Semiannual Report	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
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
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
01/21/2016	Securities and Exchange Commission	Final Report of Investigation, Administrative Law Judges	Investigation	Agency-Wide
01/27/2016	Securities and Exchange Commission	Review of the SEC's Pay Transition Program	Other	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
02/11/2016	Securities and Exchange Commission	Improvements Needed in Oversight of SEC-Sponsored Conferences, Report No. 532	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
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
05/24/2016	Securities and Exchange Commission	Semiannual Report to Congress October 1, 2015 to March 31, 2016	Semiannual Report	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
06/22/2016	Securities and Exchange Commission	Management of the SEC's Protective Security Force Contract Needs Improvement, Report No. 536	Audit	Agency-Wide
06/30/2016	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
08/11/2016	Securities and Exchange Commission	Inspector General's Report on Covered Systems	Other	Agency-Wide
08/19/2016	Securities and Exchange Commission	Final Closeout Memorandum: Audit of the SEC's Hiring Practices	Audit	Agency-Wide
09/19/2016	Securities and Exchange Commission	OIG Strategic Plan for Fiscal Years 2017 - 2019	Other	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
09/30/2016	Securities and Exchange Commission	Audit of the SEC's Information Technology Requirements-Gathering Process, Report No. 538	Audit	Agency-Wide

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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
11/14/2016	Securities and Exchange Commission	Semiannual Report to Congress April 1, 2016 to September 30, 2016	Semiannual Report	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
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
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
03/27/2017	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
04/20/2017	Securities and Exchange Commission	DOJ Press Release: Connecticut Financial Advisor Sentenced for Obstructing SEC Investigation	Other	Agency-Wide
05/05/2017	Securities and Exchange Commission	Semiannual Report to Congress October 1, 2016 to March 31, 2017	Semiannual Report	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
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
05/31/2017	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
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
08/24/2017	Securities and Exchange Commission	Review of Certain Actions Taken by Commissioner Michael Piwowar as Acting Chairman	Other	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
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
09/29/2017	Securities and Exchange Commission	Audit of the SEC's Management of Its Data Centers, Report No. 543	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
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
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
12/01/2017	Securities and Exchange Commission	Semiannual Report to Congress April 1, 2017 to September 30, 2017	Semiannual Report	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
03/28/2018	Securities and Exchange Commission	Results of the Inspector General's Fiscal Year 2017 Purchase Card Program Risk Assessment	Audit	Agency-Wide
03/30/2018	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

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05/25/2018	Securities and Exchange Commission	Semiannual Report to Congress October 1, 2017 to March 31, 2018	Semiannual Report	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
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
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
09/21/2018	Securities and Exchange Commission	Evaluation of the EDGAR System's Governance and Incident Handling Processes, Report No. 550	Audit	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
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
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
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
02/08/2019	Securities and Exchange Commission	DOJ Press Release: Biotech Company Employee Pleads Guilty to Securities Fraud Charges	Investigation	Agency-Wide
02/14/2019	Securities and Exchange Commission	The SEC's Compliance with Improper Payments Requirements for Fiscal Year 2018	Audit	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
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
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
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
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
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
09/30/2019	Securities and Exchange Commission	SEC OIG Strategic Plan for Fiscal Years 2019 - 2024	Other	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
10/28/2019	Securities and Exchange Commission	DOJ Press Release: Biotech Company CEO Convicted of Securities Fraud and Obstruction	Investigation	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

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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
12/02/2019	Securities and Exchange Commission	Semiannual Report: April 1, 2019 to September 30, 2019	Semiannual Report	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
12/18/2019	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
12/19/2019	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
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
02/28/2020	Securities and Exchange Commission	Biotech Officer Sentenced for Securities Fraud and Obstruction of SEC Proceeding	Investigation	Agency-Wide
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
03/31/2020	Securities and Exchange Commission	Results of the Inspector General's Fiscal Year 2019 Purchase Card Program Risk Assessment	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
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
05/29/2020	Securities and Exchange Commission	Semiannual Report to Congress: October 1, 2019, through March 31, 2020	Semiannual Report	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
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
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
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
10/20/2020	Securities and Exchange Commission	External Peer Review Report for the SEC OIG Inspection and Evaluation Function	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
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
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
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
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
02/17/2021	Securities and Exchange Commission	SEC OIG 2020 FEVS Announcement	Other	Agency-Wide

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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
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
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
05/28/2021	Securities and Exchange Commission	Semiannual Report to Congress: October 1, 2020 to March 31, 2021	Semiannual Report	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
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
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
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
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
09/29/2021	Securities and Exchange Commission	Additional Steps Are Needed For the SEC To Implement a Well-Defined Enterprise Architecture, Report No. 568	Audit	Agency-Wide
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
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
12/08/2021	Securities and Exchange Commission	Semiannual Report to Congress: April 1, 2021, through September 30, 2021	Semiannual Report	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
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
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
02/28/2022	Securities and Exchange Commission	The SEC Can Improve in Several Areas Related to Hiring, Report No. 572	Audit	Agency-Wide
05/27/2022	Securities and Exchange Commission	Semiannual Report to Congress: October 1, 2021 through March 31, 2022	Semiannual Report	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
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
08/25/2022	Securities and Exchange Commission	Interim Body Worn Camera Policy	Other	Agency-Wide
08/29/2022	Securities and Exchange Commission	Findings Related to the Former SEC Ombudsman	Investigation	Agency-Wide

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Report Date	Agency Reviewed / Investigated	Title	Type	Location
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
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
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
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
11/21/2022	Securities and Exchange Commission	Semiannual Report to Congress: April 1, 2022, through September 30, 2022	Semiannual Report	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
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
02/15/2023	Securities and Exchange Commission	Enforcement Investigations: Measures of Timeliness Showed Some Improvement But Enforcement Can Better Communicate Capabilities for Expediting Investigations and Improve Internal Processes, Report No. 576	Audit	Agency-Wide
02/28/2023	Securities and Exchange Commission	The SEC Supported Federal Small Business Contracting Objectives, Yet Could Make Better Use of Data and Take Other Actions To Further Promote Small Business Contracting, Report No. 577	Audit	Agency-Wide
02/28/2023	Securities and Exchange Commission	The SEC Supported Federal Small Business Contracting Objectives, Yet Could Make Better Use of Data and Take Other Actions To Further Promote Small Business Contracting, Report No. 577	Audit	Agency-Wide
03/08/2023	Securities and Exchange Commission	Deputy Inspector General for Audits, Evaluations, and Special Projects' Testimony before the Committee on Financial Services Subcommittee on Oversight and Investigations, U.S. House of Representatives, March 8, 2023	Other	Agency-Wide
04/14/2023	Securities and Exchange Commission	Final Management Letter: Review of SEC Controls Over Public Comments Submitted Online and Actions Taken in Response to a Known Error	Audit	Agency-Wide
05/01/2023	Securities and Exchange Commission	Final Management Letter: Review of Upward Mobility Program	Other	Agency-Wide
05/05/2023	Securities and Exchange Commission	Evaluation of the SEC's FY 2022 Compliance With the Payment Integrity Information Act of 2019, Report No. 578	Audit	Agency-Wide
05/25/2023	Securities and Exchange Commission	Semiannual Report to Congress: October 1, 2022, through March 31, 2023	Semiannual Report	Agency-Wide
07/25/2023	Securities and Exchange Commission	The SEC Took Appropriate Workplace Safety Actions in Accordance With Pandemic Guidance But Could Improve Communications, Report No. 579	Audit	Agency-Wide
09/27/2023	Securities and Exchange Commission	Final Management Letter: Readiness Review - The SEC's Progress Toward Implementing Zero Trust Cybersecurity Principles	Audit	Agency-Wide
09/30/2023	Securities and Exchange Commission	Semiannual Report to Congress April 1, 2023, through September 30, 2023	Semiannual Report	Agency-Wide
10/31/2023	Securities and Exchange Commission	The Inspector General's Statement on the SEC's Management and Performance Challenges, October 2023	Top Management Challenges	Agency-Wide

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