

Wed, 25 Sep 2024 15:10:39 -0400 EDT

| 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 |

Wed, 25 Sep 2024 15:10:39 -0400 EDT

| Report Date | Agency Reviewed / Investigated | Title | Type | Location |
|-------------|------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|-------------|
| 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 |

Wed, 25 Sep 2024 15:10:39 -0400 EDT

| Report Date | Agency Reviewed / Investigated | Title | Type | Location |
|-------------|------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|-------------|
| 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 |

Wed, 25 Sep 2024 15:10:39 -0400 EDT

| Report Date | Agency Reviewed / Investigated | Title | Type | Location |
|-------------|------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|-------------|
| 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 |

Wed, 25 Sep 2024 15:10:39 -0400 EDT

| Report Date | Agency Reviewed / Investigated | Title | Type | Location |
|-------------|------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|-------------|
| 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 |

Wed, 25 Sep 2024 15:10:39 -0400 EDT

| 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 |
| 12/20/2023 | Securities and Exchange Commission | Fiscal Year 2023 Independent Evaluation of the SEC's Implementation of the Federal Information Security Modernization Act of 2014, Report No. 580 | Inspection / Evaluation | Agency-Wide |

Wed, 25 Sep 2024 15:10:39 -0400 EDT

| Report Date | Agency Reviewed / Investigated | Title | Type | Location |
|-------------|------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|-------------------------|-------------|
| 01/29/2024 | Securities and Exchange Commission | Opportunities Exist to Strengthen the SEC's Office of Equal Employment Opportunity Programs and Operations, Report No. 581 | Inspection / Evaluation | Agency-Wide |
| 03/07/2024 | Securities and Exchange Commission | Peer Review: External Peer Review Report for the SEC OIG Inspection and Evaluation Function | Peer Review of OIG | Agency-Wide |
| 03/19/2024 | Securities and Exchange Commission | Final Management Letter: Evaluation of the SEC's FY 2023 Compliance With the Payment Integrity Information Act of 2019 | Inspection / Evaluation | Agency-Wide |
| 05/16/2024 | Securities and Exchange Commission | OIG's Semiannual Report to Congress - October 1, 2023, through March 31, 2024 | Semiannual Report | Agency-Wide |
| 07/24/2024 | Securities and Exchange Commission | Peer Review: System Review Report on the U.S. Securities and Exchange Commission's Office of Inspector General Audit Organization | Peer Review of OIG | Agency-Wide |
| 08/26/2024 | Securities and Exchange Commission | The SEC Missed Opportunities to Lower Contract Risk and More Effectively Manage Time-and-Materials Contracts, Report No. 582 | Audit | Agency-Wide |
| 09/23/2024 | Securities and Exchange Commission | Enhanced Planning, Performance Measurement and Evaluation, and Information Can Improve Oversight of Broker-Dealer Examinations report No. 583 | Audit | Agency-Wide |

Displaying 1 - 145 of 145