

SEC OIG INVESTIGATIVE SUMMARY



Former Division of Enforcement attorney resigned while under investigation for sending emails with sensitive & nonpublic SEC information to self and others via personal email; sending political emails; and using SEC resources for personal use.

The Securities and Exchange Commission (SEC) Office of Inspector General (OIG) investigated an allegation received from the SEC Office of the General Counsel (OGC) that a Division of Enforcement attorney emailed SEC nonpublic information (NPI) from his SEC email to his personal Gmail account without authorization.

OIG found that, over a four-year time period, the attorney sent over 500 emails containing NPI, including the identities of SEC whistleblowers, to and from his personal email account, despite having taken more than a dozen trainings and being counseled at least 5 times on the rules prohibiting the unauthorized disclosure of NPI. OIG also found that the employee inappropriately engaged in political activity on SEC email, potentially violating the Hatch Act.

OIG referred the matter to the U.S. Attorney's Office for the Central District of California, which declined prosecution. OIG also referred the potential violations of the Hatch Act to the U.S. Office of Special Counsel, which declined to pursue the matter.

OIG then referred the matter to SEC OGC, which directed the immediate removal of the attorney's access to any investigatory files.

While under investigation, the attorney elected to retire from the SEC effective April 4, 2025.

