

# SEC OIG INVESTIGATIVE SUMMARY



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***OIG did not find that SEC contractor used quid pro quo schemes, improper relationships with SEC employees, or performed inherently governmental duties, nor did the contractor have access to procurement sensitive information not available to other bidders as alleged.***

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The Securities and Exchange Commission (SEC) Office of Inspector General (OIG) investigated allegations that a contractor inappropriately influenced the SEC's award of a \$43 million-dollar blanket purchase agreement (BPA) to his company through the use of *quid pro quo* schemes and improper relationships with SEC employees. The contractor also allegedly performed inherently governmental duties and obtained procurement sensitive information not available to other potential bidders by having its employees working under a separate SEC contract attend meetings discussing the BPA solicitation.

The OIG did not find evidence to substantiate that the contractor made *quid pro quo* offers to SEC employees, used improper relationships to influence contract awards, or performed inherently governmental functions. While the contractor routinely made recommendations regarding operations within an SEC office in accordance with the terms of the contract, the OIG found evidence that the contractor regularly provided unsolicited advice. The OIG did not find evidence that any SEC officials made decisions based solely on the unsolicited advice.

Additionally, the OIG found evidence that the contractor invited SEC staff to contract company events. The only employee who recalled attending any private event paid the cost of attendance and the OIG did not find that the private event influenced any SEC action to the benefit of the contractor.

Finally, the OIG did not find direct evidence that the contractor had access to procurement sensitive information not available to other potential bidders for the BPA contract in question.

