

SEC OIG INVESTIGATIVE SUMMARY



An SEC attorney falsely certified more than a dozen times having an active state bar license in good standing.

The Securities and Exchange Commission (SEC) Office of Inspector General (OIG) investigated allegations that an SEC attorney falsely certified to the SEC that they had an active bar membership in good standing when they did not. All SEC attorneys in the SK- 0905 job series are required to annually self-certify that they have an active bar license in one or more U.S. jurisdiction. A current, valid license, with eligibility to practice law in a state, the District of Columbia, or any United States territory or commonwealth, is a required condition of employment with the SEC.

The OIG found that the SEC attorney falsely certified active membership in good standing with a state bar at the time they were hired in 2008. Additionally, on at least 13 separate occasions between 2015 and 2024, the SEC attorney provided false certifications of an active state bar license in good standing. State bar records where the attorney claimed membership in good standing showed the attorney was not in good standing since 2004, and their bar license was administratively revoked in 2010 for failure to pay into the state's lawyers' fund.

The SEC placed the attorney on administrative leave and the attorney resigned.

