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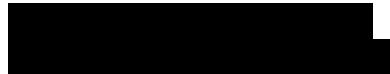


UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
STATION PLACE
100 F STREET, NE
WASHINGTON, DC 20549-2465

Office of FOIA Services

January 26, 2017

Mr. John Greenewald
The Black Vault



Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552
Request No. 17-00010-OIG

Dear Mr. Greenewald:

This is the final response to your December 29, 2016 request for "a copy of records, electronic or otherwise, of a list of all CLOSED investigations by your agency's Office of the Inspector General, during the calendar year 2016."

Access is granted in part to the attached single page .pdf file. Certain information is exempt from disclosure under 5 U.S.C. § 552(b)(6) and (7)(C), 17 CFR § 200.80(b)(6) and (7)(iii). Under Exemption 6 the release of the redacted information would constitute a clearly unwarranted invasion of personal privacy. Under Exemption 7(C) release of the information could reasonably be expected to constitute an unwarranted invasion of personal privacy. Further, public identification of Commission staff could conceivably subject them to harassment and annoyance in the conduct of their official duties and in their private lives.

You have the right to appeal my decision to the SEC's General Counsel under 5 U.S.C. § 552(a)(6), 17 CFR § 200.80(d)(5)(iv). The appeal must be received within ninety (90) calendar days of the date of this adverse decision. Your appeal must be in writing, clearly marked "Freedom of Information Act Appeal," and should identify the requested records. The appeal may include facts and authorities you consider appropriate.

You may file your appeal by completing the online Appeal form located at https://www.sec.gov/forms/request_appeal, or mail your

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appeal to the Office of FOIA Services of the Securities and Exchange Commission located at Station Place, 100 F Street NE, Mail Stop 2465, Washington, D.C. 20549, or deliver it to Room 1120 at that address. Also, send a copy to the SEC Office of the General Counsel, Mail Stop 9612, or deliver it to Room 1120 at the Station Place address.

You also have the right to seek assistance from an SEC FOIA Public Liaison, whose contact information can be located at <https://www.sec.gov/oso/contact/foia-contact.html>. In addition, you may contact the Office of Government Information Services (OGIS) for dispute resolution services. OGIS can be reached at 1-877-684-6448 or <https://ogis.archives.gov/?p=/ogis/index.html>.

If you have any questions, please contact me by email at sifordm@sec.gov or by telephone at (202) 551-7201. If you cannot reach me please contact Mr. John J. Livornese, the SEC's FOIA Officer, by calling (202) 551-7900 or by sending an e-mail to foiapa@sec.gov.

Sincerely,



Mark P. Siford
Counsel to the Director/Chief FOIA Officer
Office of Support Operations

Enclosure

U.S. Securities and Exchange Commission Office of Inspector General
Closed Cases Report
Division: Office of Criminal Investigations/Office of Counsel
Region: All Regions
For the Period Between: 01/01/2016 and 12/31/2016

CLOSED CASES

NUMBER	TITLE	AGENT	REGION	OFFICE	DATE
14-OFM-0001-I	(b)(6),(b)(7)(C)		INV Branch 2	Investigative Branch 2	3/1/2016
14-CIE-0007-I			INV Branch 1	Investigation Branch 1	9/29/2016
14-OCA-0015-I			INV Branch 1	Investigation Branch 1	3/23/2016
14-ENF-0023-I			INV Branch 2	Investigative Branch 2	3/18/2016
14-ENF-0033-I			INV Branch 1	Investigation Branch 1	9/30/2016
14-CIE-0073-I			INV Branch 2	Investigative Branch 2	3/29/2016
14-ENF-0210-I			INV Branch 1	Investigation Branch 1	9/20/2016
14-ENF-0231-I			INV Branch 2	Investigative Branch 2	9/29/2016
14-ENF-0584-I			INV Branch 2	Investigative Branch 2	2/25/2016
14-DIM-0702-I			INV Branch 1	Investigation Branch 1	5/26/2016
14-ERA-0741-I			Investigations	Investigations	9/16/2016
14-HR-0779-I			INV Branch 1	Investigation Branch 1	9/22/2016
14-ENF-0813-I			INV Branch 1	Investigation Branch 1	3/30/2016
14-ZZZ-0825-I	EN POINTE GOV INC.	(b)(6),(b)(7)(C)	INV Branch 1	Investigation Branch 1	9/22/2016
14-CIE-0832-I	(b)(6),(b)(7)(C) ET AL		INV Branch 1	Investigation Branch 1	10/11/2016
14-ENF-0850-I			INV Branch 2	Investigative Branch 2	3/29/2016
14-CIE-0866-I	FOUR POINTS CAPITAL PARTNERS, LLC		INV Branch 1	Investigation Branch 1	3/25/2016
15-OIA-0177-I	(b)(6),(b)(7)(C)		INV Branch 1	Investigation Branch 1	9/9/2016
15-OSO-0204-I			INV Branch 2	Investigative Branch 2	1/12/2016
15-ENF-0273-I			INV Branch 2	Investigative Branch 2	3/9/2016
15-ENF-0290-I			INV Branch 1	Investigation Branch 1	6/27/2016
15-COM-0419-I	CSC NONPUBLIC INFORMATION DISCLOSURE		INV Branch 1	Investigation Branch 1	9/30/2016
15-ALJ-0482-I	ADMINISTRATIVE LAW JUDGES		INV Branch 1	Investigation Branch 1	3/31/2016
16-ZZZ-0175-I	(b)(6),(b)(7)(C)		INV Branch 1	Investigation Branch 1	9/14/2016
16-OIT-0178-I			Investigations	Investigations	11/2/2016
16-COM-0209-I			Investigations	Investigations	9/15/2016
16-OEC-0373-I	UNNAMED		Investigations	Investigations	9/27/2016
16-ENF-0449-I	(b)(6),(b)(7)(C)		INV Branch 1	Investigation Branch 1	9/13/2016

Date Report Run: Monday, January 23, 2017