

APPENDIXES



Appendix A: Summary of Changes to Performance Goals and Indicators

SUMMARY OF CHANGES TO PERFORMANCE GOALS AND INDICATORS

Responsible Division/Office	Performance Goal/ Indicator #	Previous Title	New Title
Enforcement	Performance Goal 1.3.6	New	Average months between opening a matter under inquiry or an investigation and commencing an enforcement action
Enforcement	Indicator (Contextual) 1.3.1	New	Percentage of filed enforcement actions reflecting characteristics that present enhanced risk to investors and markets, as measured by the nature of the investigation, conduct, parties, and impact
Enforcement	Performance Goal 1.3.1	Percentage of enforcement actions successfully resolved	Percentage of enforcement actions resolved
Enforcement	Performance Goal 1.3.2	Percentage of first enforcement actions filed within two years	Percentage of first enforcement actions filed within two years
Enforcement	Performance Goal 1.3.3	Percentage of debts where either a payment has been made or a collection activity has been initiated within six months of the due date of the debt	Percentage of debts where either a payment has been made or a collection activity has been initiated within 180 days of the due date of the debt
Enforcement	Performance Goal 1.3.4	Percentage of Fair Fund and disgorgement fund plans that distributed the final tranche of funds to injured investors within 24 months of the order appointing the fund administrator	Percentage of Fair Fund and disgorgement fund plans that have distributed 80 percent of the available funds for distribution within twenty four (24) months of the approval of the distribution plan
Enforcement	Performance Goal 1.3.5	Percentage of Fair Fund and disgorgement fund plans approved by final order within the prior fiscal year which had a first tranche of funds distributed under those plans within 12 months of such approval date	Total amount distributed within the fiscal year, and the number of Fair Funds from which those distributions came
Enforcement	Indicator (Output) 1.3.2	Number of investigations or cause exams from tips	Number of investigations or inquiries originating from a tip or complaint
Enforcement	Indicator (Output) 1.3.3	SEC investigations referred to SROs or other state, federal, and foreign authorities for enforcement	SEC investigations in which requests for access to information were granted by the SEC to other authorities, such as SROs or other state, federal, and foreign enforcement authorities
Enforcement	Indicator (Output) 1.3.4	Percent of all enforcement investigations deemed "high impact"	Percent of enforcement actions filed that arose out of national priority investigations
Enforcement	Indicator (Contextual) 1.3.5	Criminal investigations relating to SEC investigations	Criminal actions related to conduct under investigation by the SEC
Enforcement	Indicator (Output) 1.3.6	Disgorgement and penalties ordered and the amounts collected by the SEC	Disgorgement and penalties ordered and the amounts collected

Appendix B: Acronyms

ABS	Asset-Back Securities	EDW	Enterprise Data Warehouse
AFR	Agency Financial Report	EEO	Equal Employment Opportunity
APP	Annual Performance Plan	ENF	Enforcement Division
APR	Annual Performance Report	ESC	Employees' Securities Companies
ARP	Automation Review Program	ETFs	Exchange Traded Funds
BCG	Boston Consulting Group	FASB	Financial Accounting Standards Board
BD	Broker-Dealer	FDIC	Federal Deposit Insurance Corporation
BMO	Business Management Office	FINRA	Financial Industry Regulatory Authority
CAT	Consolidated Audit Trail (Repository)	FOIA	Freedom of Information Act
CBJ	Congressional Budget Justification	FSB	Financial Stability Board
CBOE	Chicago Board of Options Exchange	FSOC	Financial Stability Oversight Council
CCP	Central Counterparty	FSSP	Federal Shared Service Provider
CEO	Chief Executive Officer	FTE	Full-Time Equivalent
CF	Division of Corporation Finance	FY	Fiscal Year
CFO	Chief Financial Officer	G-20	Group of 20
CFTC	Commodities Futures Trading Corporation	GAAP	Generally Accepted Accounting Principles
CHX	Chicago Stock Exchange	GAO	Government Accountability Office
CIGIE	Council of the Inspectors General on Integrity and Efficiency	HSPD-12	Homeland Security Presidential Directive-12
CIP	Continuous Improvement Program	IA	Investment Advisers
COO	Chief Operating Officer	IASB	International Accounting Standards Board
COOP	Continuity of Operations	IFRS	International Financial Reporting Standards
COR	Contracting Officers Representative	IFRSF	International Financial Reporting Standards Foundation
COTS	Commercial-Off-The-Shelf	IG	Inspector General
CPSS-IOSCO	Committee on Payment and Settlement Systems and the Technical Committee of the International Organization of Securities Commissions	IM	Division of Investment Management
CQOR	Chairman's Quarterly Operating Report	IMF	International Monetary Fund
D&I	Diversity & Inclusion	IOSCO	International Organization of Securities Commissions
EBP	Evidence-Based Performance	IRS	Internal Revenue Service
ECM	Enterprise Content Management	IT	Information Technology
ECN	Electronic Communication Network	ITIL	Information Technology Infrastructure Library
EDGAR	Electronic Data Gathering Analysis and Retrieval	LEI	Global Legal Identity Identifier

MAP	Mission Advancement Program	OMS	Office of Municipal Securities
MMOU	Multilateral Memorandum of Understanding	OMWI	Office of Minority and Women Inclusion
MOU	Memorandum of Understanding	OPA	Office of Public Affairs
MSRB	Municipal Securities Rulemaking Board	OPM	Office of Personnel Management
MUI	Matters under Inquiry	ORM	Operational Risk Management
NRSRO	Nationally Recognized Statistical Rating Organizations	ORMS	Office of Records Management Services
NTEU	National Treasury Employees Union	OS	Office of the Secretary
O&M	Operations & Maintenance	OSHA	Occupational Safety & Health Administration
OALJ	Office of the Administrative Law Judges	OSS	Office of Security Services
OAS	Office of Administrative Services	OTC	Over-the-Counter
OBO	Office of Building Operations	PCAOB	Public Company Accounting Oversight Board
OCA	Office of Chief Accountant	PERSEC	Personnel Security Operations
OCIE	Office of Compliance Inspections and Examinations	PWG	President's Working Group
OCOO	Office of the Chief Operating Officer	QRADS	Quantitative Research Analytical Data Support
OCR	Office of Credit Ratings	REG	Office of Risk and Examination Group
OEEO	Office of Equal Employment Opportunity	RMS	Office of Records Management Services
OFM	Office of Financial Management	ROC	Regulatory Oversight Committee
OFRMS	Office of FOIA, Records Management and Security Services	RSFI	Division of Risk, Strategy and Financial Innovation
OFS	Office of FOIA Services	RSS	Really Simple Syndication
OGC	Office of the General Counsel	SDR	Swap Data Repositories
OHR	Office of Human Resources	SEC-U	Securities and Exchange Commission University
OIA	Office of International Affairs	SEF	Swap Execution Facility
OIEA	Office of Investor Education and Advocacy	SIPC	Securities Investor Protection Corporation
OIG	Office of the Inspector General	SMO	Service Management Office
OIT	Office of Information Technology	SRO	Self-Regulatory Organization
OLIA	Office of Legislative and Intergovernmental Affairs	TCR	Tips, Complaints and Referrals
OME	Office of Managing Executive	TM	Division of Trading and Markets
OMI	Office of Market Intelligence	UIT	Unit Investment Trusts
		VaR	Value-at-Risk