SEC OIG INVESTIGATIVE SUMMARY

November 23, 2026

SEC OIG investigated a former contract paralegal for suspected impersonation of a law enforcement officer and sending nonpublic information to a personal email

The Securities and Exchange Commission (SEC) Office of Inspector General (OIG) initiated an investigation based on a referral by the FBI's Joint Terrorism Task Force (JTTF). On March 4, 2025, while performing other duties, JTTF Task Force Officers encountered a suspicious vehicle with police lights and antenna, an FBI raid-style jacket on the driver's seat, an SEC business card, and a credential case displaying an SEC medallion and what appeared to be a government-issued personal identification card displayed on the dashboard. SEC OIG identified the vehicle owner as a former SEC contract paralegal (subject) who left the SEC in late January 2026.

On March 11, 2026, the Metropolitan Transit Authority Police Department arrested the subject on two charges – criminal impersonation in the second degree and criminal possession of a forged instrument in the third degree. The Manhattan District Attorney ultimately declined to prosecute the subject.

Upon initiating the OIG investigation, we learned that the individual had reported a lost SEC laptop less than three weeks before terminating the SEC contract position and taking a job at a securities litigation law firm. Concerned that the subject may have taken nonpublic information (NPI) to the firm, OIG continued our investigation.

We found that the subject, while serving as a contract paralegal with the SEC for 3 ½ years, sent 1044 emails between his SEC email account and a personal Gmail account, including at least 53 with NPI and 211 with personally identifiable information (PII). Some of the NPI-laden emails included SEC witness interview notes, subpoena information, and interview outlines.

We found three documented instances of disciplinary action against the subject for schedule discrepancies, unauthorized software usage, and the previously discussed loss of the SEC's government-furnished laptop. Additionally, we found at least five occasions when the subject charged the SEC United Parcel Service account for personal use.

When interviewed, the subject told us that the displayed law enforcement items were used to avoid parking enforcement and fines and the NPI and PII sent to his personal email allowed him to print documents that needed to be mailed and to view files on his personal computer which was equipped with a larger display than his government-furnished laptop.

On October 30, 2026, we closed the OIG investigation with no further action available on a former contract employee.

In November 2026, we prepared a Management Implication Report on operational security for the SEC that included information about the subject's exfiltration of NPI and PII.