To: Chair Remke, Commissioners Casher, Eskovitz, Wasserman, and Wynne

From: Galena West, Acting Chief of Enforcement

Subject: Enforcement Division's Monthly Report

Date: June 4, 2015

During the period of May 7, 2015 through June 4, 2015, the Enforcement Division received 11 sworn complaints. Of these, one is currently in active investigation, three were closed without action, and seven remain in intake. In addition, 6 proactive cases, 34 non-filer referral cases, and 42 \$50 fee cases were opened.

Also during this time, the Division closed a total of 30 cases including:

- 4 warning letters,
- 3 advisory letters,
- 4 no action letters, and
- 19 as a result of the adoption of stipulations and defaults at the May Commission meeting.

The Enforcement Division had 544 cases in various stages of resolution at the time of the May Monthly Report, and currently has 604 cases in various stages of resolution, including the 8 cases before the Commission as listed in the June 2015 agenda.