

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

From: Galena West, Acting Chief of Enforcement

Subject: Enforcement Division's Monthly Report

**Date:** May 7, 2015

During the period of April 3, 2015 through May 7, 2015, the Enforcement Division received 23 sworn complaints. Of these, 7 are currently in active investigation, 12 were closed without action, and 4 remain in intake. In addition, 37 proactive cases and 83 non-filer referral cases were opened.

Also during this time, the Division closed a total of 55 cases including:

- 23 warning letters,
- 2 advisory letters,
- 25 no action letters, and
- 5 as a result of the adoption of stipulations and defaults at the April Commission meeting.

The Enforcement Division had 468 cases in various stages of resolution at the time of the April Monthly Report and currently has 544 cases in various stages of resolution, including the 20 cases before the Commission as listed in the May 2015 agenda.