

Seema Sapra

From: "Help" <help@sec.gov> [help@sec.gov]
Sent: 27 May 2011 01:04
To: seema.sapra@googlemail.com
Subject: SEC Response - File HO::~~00137171~::~HO [ref:00D3JxQy.5003EUNzG:ref]

Via Email: seema.sapra@googlemail.com

ES#138436/HO::~~00137171~::~HO

Dear Ms. Sapra:

This is to confirm receipt of your May 24, 2011 email to the Securities and Exchange Commission Chairman Mary L. Schapiro. Your email was forwarded to the Office of Investor Education and Advocacy (OIEA) for response.

We appreciate your alerting us to your concerns regarding General Electric Co. and its management staff. OIEA processes many complaints received from individual investors and others. We keep records of the correspondence we receive in a searchable database that SEC staff may make use of in inspections, examinations, and investigations. In addition, some correspondence received by OIEA is referred directly to other SEC offices and divisions for their review.

The SEC conducts its investigations on a confidential and nonpublic basis and neither confirms nor denies the existence of an investigation unless the SEC brings charges against someone involved. We do this to protect the integrity and effectiveness of our investigative process and to preserve the privacy of the individuals and entities involved. As a result, we will be unable to confirm whether an investigation exists or provide you with any updates on the status of your complaint or of any pending SEC investigation. Information on our policy is enclosed. You may wish to check our website, www.sec.gov, for information about pending SEC civil actions, administrative cases, and other matters.

If you have questions, please contact Karen R. Flemming-McDowell, a member of my staff, at (202) 551-6325.

Sincerely,

Gloria F. Smith-Hill
Branch Chief
Office of Investor Education and Advocacy
U.S. Securities and Exchange Commission

INFORMATION ABOUT SEC INVESTIGATIONS

Each year, thousands of investors ask the Securities and Exchange Commission to investigate the activities of other investors, financial professionals, corporations, brokerage firms, investment companies, stock exchanges, and others. These complaints generally suggest some impropriety or misconduct and sometimes make a plea to the SEC for direct assistance in resolving a grievance.

The SEC has the authority to investigate whether violations of the federal securities laws have occurred, and we make every effort to evaluate promptly and thoroughly the information provided by investors. But we cannot investigate every investor complaint. While many investor complaints do lead to full investigations and, if appropriate, to enforcement actions, we cannot guarantee that our review will lead to further

investigation or that the SEC will take any legal action.

We also cannot provide you with updates on the status of your complaint or your request for an investigation. The SEC conducts investigations confidentially for two main reasons. First, we can conduct investigations more effectively if they are not announced publicly. For instance, important documents and evidence can be destroyed quickly if people hear of an investigation. Second, we keep our investigations confidential to protect the reputations of companies and individuals if we find no wrongdoing or decide we cannot bring a successful action against them. The SEC will not confirm or deny the existence of an investigation unless, and until, it becomes a matter of public record as the result of a court action or administrative proceeding.

When there is proof that someone has violated the securities laws, the sanctions may include financial penalties, orders to surrender profits, cease and desist orders, or an injunction by a court to prevent further violations. The SEC may also bar individuals from working for a securities firm, investment adviser, or investment company. We can also ask a federal court to bar individuals from being officers and directors of publicly held companies. In some situations, we may refer a case to the Department of Justice for possible criminal prosecution.

The SEC publishes news releases about its lawsuits and administrative actions, and the news media often report on them. You can read and download the SEC's "Enforcement Actions" on our website at www.sec.gov/divisions/enforce/enforceactions.shtml. Or you can obtain hard copies by reviewing "How to Request Public Documents" at: <http://www.sec.gov/answers/publicdocs.htm>

Or

Submit a written request to:
U.S. Securities and Exchange Commission Office of FOIA/PA Operations 100 F Street N.E.
Washington, DC 20549-2736
Fax: (202) 772-9337
Tel: (202) 551-8300

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