

02/01/2024 Commodity Futures Trading Removal Notice for CFEC Old Engagestion & Evaluation, Other Agency-Wide Agency-Wide Commission 01/29/2024 Commodity Futures Trading Control Contro	Report Date	Agency Reviewed / Investigated	Title	Туре	Location
Olife Commission CFTC Olif Stategy Plan to FT 2045 F1 2025 Commodity Futures Trading Commission CFTC Financial Statements Audit: Fiscal Year (FY) 2023 Audit Agency-Wide Commission Commodity Futures Trading Commission Commodity Futures Trading Commission Commodity Futures Trading Commission Commodity Futures Trading Semiannual Report to Congress April 1, 2023 Commodity Futures Trading Commission Comm	02/01/2024		CFTC Stress-Testing Development Efforts (February 1,	Other	Agency-Wide
11/15/2023 Commodity Futures Trading Commission Cert Cinancial Statements Audit: Fiscal Year (FY) 2023 Audit Agency-Wide Commission Commission Management Challenges Fiscal Year 2023 Top Management Challenges Fiscal Year 2023 Top Management Challenges Fiscal Year 2023 Semiannual Report Agency-Wide Commission Commodity Futures Trading Commission Semiannual Report to Congress October 1, 2022 Semiannual Report Agency-Wide Commission Co	01/29/2024		CFTC OIG Strategic Plan for FY 2024 - FY 2028	Other	Agency-Wide
11/13/2022 Commodity Futures Trading Commission	01/29/2024	,	CFTC OIG FY 2024 Work Plan	Other	Agency-Wide
10/31/2023 Commodity Futures Trading Semiannual Report to Congress April 1, 2023 - Semiannual Report Agency-Wide Commission CPF Audit Opinion and Financial Statements FY 2023 Audit Agency-Wide O6/20/2023 Commodity Futures Trading Semiannual Report to Congress October 1, 2022 - Semiannual Report Agency-Wide O6/20/2023 Commodity Futures Trading Compliance Review: Payment Integrity Act of 2019 FY Review Agency-Wide O6/20/2023 Commodity Futures Trading Compliance Review: Payment Integrity Act of 2019 FY Review Agency-Wide O6/20/2023 Commodity Futures Trading Compliance Review: Payment Integrity Act of 2019 FY Review Agency-Wide O6/20/2023 Commodity Futures Trading Semiannual Report to Congress April 1, 2022 - Semiannual Report Agency-Wide O7/20/202 Commodity Futures Trading CPF Audit Opinion and Financial Statements FY 2022 Audit Agency-Wide O7/20/202 Commodity Futures Trading CPF Audit Opinion and Financial Statements FY 2022 Audit Agency-Wide O7/20/202 Commodity Futures Trading CPF Audit Opinion and Financial Statements FY 2022 Audit Agency-Wide O7/20/202 Commodity Futures Trading Commission Management Challenges - Fiscal Year 2022 Top Management Challenges - Agency-Wide Commission Management Challenges - Fiscal Year 2022 Semiannual Report Agency-Wide O7/20/202 Commodity Futures Trading Commission March 31, 2022 Semiannual Report to Congress October 1, 2021 - Semiannual Report Agency-Wide O7/20/202 Commodity Futures Trading Compliance Review: Payment Integrity Information Act of 2019 Semiannual Report O7/20/202 Commodity Futures Trading Compliance Review: Payment Integrity Information Act O7/20/202 Commodity Futures Trading Compliance Review: Payment Integrity Information Act O7/20/202 Commodity Futures Trading Compliance Review: Payment Integrity Information Act O7/20/202 Commodity Futures Trading Compliance Review: Payment Integrity Information Act O7/20/202 Commodity Futures Trading Compliance Review: Payment Integrity Information Act O7/20/202 Commodity Futures Trading Compliance Review: Payment Integrity Inf	11/15/2023	,	CFTC Financial Statements Audit: Fiscal Year (FY) 2023	Audit	Agency-Wide
10/30/2023 Commodity Futures Trading Compliance Review: Payment Integrity Act of 2019 FY Review Agency-Wide Commission September 30, 2023 Semiannual Report Review: Payment Integrity Act of 2019 FY Review Agency-Wide Commission Commodity Futures Trading Compliance Review: Payment Integrity Act of 2019 FY Review Agency-Wide Commission Semiannual Report to Congress April 1, 2022 Semiannual Report Agency-Wide Commission Commission Semiannual Report to Congress April 1, 2022 Audit Agency-Wide Commission Commission CFTC Financial Statements Audit: Fiscal Year (FY) 2022 Audit Agency-Wide Commission Commission CFTC Financial Statements Audit: Fiscal Year (FY) 2022 Audit Agency-Wide Commission Commission CFTC Financial Statements Audit: Fiscal Year (FY) 2022 Audit Agency-Wide Commission Commission CFTC Financial Statements FY 2022 Audit Agency-Wide Commission Commis	11/13/2023		Management Challenges Fiscal Year 2023		Agency-Wide
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Commission March 31, 2023 Semiannual Report Agency-Wide O5/12/2023 Commodity Futures Trading Commission CPTC Financial Statements Audit: Fiscal Year (PY) 2022 Audit Agency-Wide 11/30/2022 Commodity Futures Trading Commission CPTC Financial Statements Audit: Fiscal Year (PY) 2022 Audit Agency-Wide 20/2022 Commodity Futures Trading Commission CPTC Financial Statements Audit: Fiscal Year (PY) 2022 Audit Agency-Wide 20/2022 Commodity Futures Trading CPF Audit Opinion and Financial Statements FY 2022 Audit Agency-Wide 20/2020 Commodity Futures Trading Commission Management Challenges - Fiscal Year 2022 Top Management Challenges Commission Management Challenges - Fiscal Year 2022 Top Management Challenges March 31, 2022 Commodity Futures Trading Commission March 31, 2022 Semiannual Report Agency-Wide 20/204/2022 Commodity Futures Trading Compliance Review: Payment Integrity Information Act Review Agency-Wide 20/203/2022 Commodity Futures Trading Compliance Review: Payment Integrity Information Act Review Agency-Wide 20/203/2022 Commodity Futures Trading Compliance Review: Payment Integrity Information Act Review Agency-Wide 20/203/2022 Commodity Futures Trading Compliance Review: Report of the Audit Function Review Agency-Wide 20/203/2022 Commodity Futures Trading Compliance Review Report of the Audit Function Review Agency-Wide 20/203/2022 Commodity Futures Trading Commission Commodity Futures Trading Commission Commodity Futures Trading Commission CPFC Financial Statements Audit: Fiscal Year (FY) 2021 Audit Agency-Wide 20/203/2021 Commodity Futures Trading Commission CPF Audit Opinion and Financial Statements FY 2021 Audit Agency-Wide 20/203/2021 Commodity Futures Trading Commission Payment Agency-Wide 20/203/2021 Commodity Futures Trading Commission Payment Commodity Futures Trading Commission Semiannual Report Compliance with the Digital Accountability and Transparency Act (DATA Act) of 20/204 (FY 2021 Quarter II) Performance Audit: CFTC's Compliance with the Digital Accountability and Transparency Act (DATA Act)	10/30/2023		CPF Audit Opinion and Financial Statements FY 2023	Audit	Agency-Wide
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Commission -September 30, 2020 -September 30, 2020 Commodity Futures Trading -September Audit Opinion Audit - Agency-Wide	01/11/2021	,	E.O. 13950, Combating Race and Sex Stereotyping	•	Agency-Wide
	12/11/2020			Semiannual Report	Agency-Wide
	11/24/2020		2020 Financial Statement Audit Opinion	Audit	Agency-Wide



Report Date	Agency Reviewed / Investigated	Title	Туре	Location
10/29/2020	Commodity Futures Trading Commission	CPF Audit of the CFTC Customer Protection Fund Financial Statements (Fiscal Year-2020)	Audit	Agency-Wide
10/28/2020	Commodity Futures Trading Commission	Management Challenges- Fiscal Year 2020	Audit	Agency-Wide
09/18/2020	Commodity Futures Trading Commission	CFTC's Policies and Procedures Regarding Oversight of Cybersecurity Safeguards by Registered Entities	Audit	Agency-Wide
06/05/2020	Commodity Futures Trading Commission	Transmittal Letter for OIG Semi-Annual Report to Congress ending March 31,2020	Semiannual Report	Agency-Wide
06/05/2020	Commodity Futures Trading Commission	CFTC OIG Semi-Annual Report ending March 31, 2020	Semiannual Report	Agency-Wide
01/14/2020	Commodity Futures Trading Commission	CPF Audit Opinion and Financial Statements FY 2019 (October 31, 2019)	Audit	Agency-Wide
01/14/2020	Commodity Futures Trading Commission	2019 Financial Statement Audit Opinion (November 20, 2019)	Audit	Agency-Wide
01/09/2020	Commodity Futures Trading Commission	Management Challenges - Fiscal Year 2019	Top Management Challenges	Agency-Wide
01/08/2020	Commodity Futures Trading Commission	Management of Select Service Contracts Used by the Office of Data and Technology (ODT) (September 11, 2019)	Inspection / Evaluation	Agency-Wide
01/08/2020	Commodity Futures Trading Commission	CFTC's Compliance with the Digital Accountability and SUBJECT: Transparency Act (DATA Act) of 2014 (FY 2019 Quarter 1) (December 5, 2019)	Audit	Agency-Wide
10/31/2019	Commodity Futures Trading Commission	CFTC OIG Semiannual Report with Cover Letter Oct 31, 2019	Semiannual Report	Agency-Wide
06/11/2019	Commodity Futures Trading Commission	Briefing Report: Unaccounted Laptops	Review	Agency-Wide
06/07/2019	Commodity Futures Trading Commission	Review of CFTC's Data Governance Program: Integrated Surveillance System	Review	Agency-Wide
03/31/2019	Commodity Futures Trading Commission	March 31, 2019 Report	Semiannual Report	Agency-Wide
03/07/2019	Commodity Futures Trading Commission	Audit of the Financial Stability Oversight Council's Monitoring of International Financial Regulatory Proposals and Developments – Transmit to CFTC Chairman	Audit	Agency-Wide
03/07/2019	Commodity Futures Trading Commission	Review of CFTC's Data Governance Program: Integrated Surveillance System	Audit	Agency-Wide
12/18/2018	Commodity Futures Trading Commission	September 30, 2018 Report	Semiannual Report	Agency-Wide
11/15/2018	Commodity Futures Trading Commission	2018 Financial Statement Audit Opinion	Audit	Agency-Wide
10/23/2018	Commodity Futures Trading Commission	CPF Audit Opinion and Financial Statements FY 2018	Audit	Agency-Wide
10/16/2018	Commodity Futures Trading Commission	Inspection and Evaluation of the February 2018 CFTC- SEC harmonization briefing	Inspection / Evaluation	Agency-Wide
09/30/2018	Commodity Futures Trading Commission	September 30, 2018 Report	Semiannual Report	Agency-Wide
09/28/2018	Commodity Futures Trading Commission	Transmittal Letter: Expanding Customer Education Initiatives	Review	Agency-Wide
09/28/2018	Commodity Futures Trading Commission	Whitepaper: Expanding Customer Education Initiatives	Review	Agency-Wide
08/27/2018	Commodity Futures Trading Commission	Management Challenges - Fiscal Year 2018	Top Management Challenges	Agency-Wide
07/30/2018	Commodity Futures Trading Commission	Signed Final Cover Letter	Inspection / Evaluation	Agency-Wide



Report Date	Agency Reviewed / Investigated	Title	Туре	Location
05/18/2018	Commodity Futures Trading Commission	Review of the U.S. Commodity Futures Trading Commission Purchase Card and Convenience Check Program	Review	Agency-Wide
03/31/2018	Commodity Futures Trading Commission	March 31, 2018 Report	Semiannual Report	Agency-Wide
02/08/2018	Commodity Futures Trading Commission	NERA Review of CFTC DCR Stress Testing Programs	Inspection / Evaluation	Agency-Wide
11/14/2017	Commodity Futures Trading Commission	2017 Financial Statements Audit Opinion	Audit	Agency-Wide
10/27/2017	Commodity Futures Trading Commission	CPF Audit Opinion and Financial Statements FY 2017	Audit	Agency-Wide
10/20/2017	Commodity Futures Trading Commission	Compliance with DATA Act of 2014 - Reporting Accuracy in Fiscal Year 2017 Quarter II	Review	Agency-Wide
09/30/2017	Commodity Futures Trading Commission	September 30, 2017 Report	Semiannual Report	Agency-Wide
09/25/2017	Commodity Futures Trading Commission	Management Challenges - Fiscal Year 2017	Top Management Challenges	Agency-Wide
09/25/2017	Commodity Futures Trading Commission	Inspector General's Assessment of the Most Serious ManagementChallenges Facing the Commodity Futures Trading Commission	Top Management Challenges	DC, US
09/22/2017	Commodity Futures Trading Commission	Lean Labor: A Case Study	Other	
08/08/2017	Commodity Futures Trading Commission	Audit of CFTC's Enterprise Architecture Program	Audit	Agency-Wide
06/05/2017	Commodity Futures Trading Commission	A Review of the Cost Benefits Consideration for the Marginal Rule for Unclear Swaps	Other	
05/31/2017	Commodity Futures Trading Commission	Performance Audit: U.S. Commodity Futures Trading Commission's Oversight of the National Futures Association	Audit	Agency-Wide
05/31/2017	Commodity Futures Trading Commission	Performace Audit: U.S. Commodity Futures Trading Commission's Oversight of the National Futures Association	Other	
04/28/2017	Commodity Futures Trading Commission	Commodity Futures Trading Commission Compliance with the Improper Payments Eliminations and Recovery Improvement Act of 2012	Other	
04/28/2017	Commodity Futures Trading Commission	March 31, 2017 Report	Semiannual Report	Agency-Wide
03/31/2017	Commodity Futures Trading Commission	March 31, 2017 Report	Semiannual Report	Agency-Wide
03/30/2017	Commodity Futures Trading Commission	OIG Follow-Up Memo Regarding March 30, 2017, OIG Investigative Report	Investigation	Agency-Wide
03/30/2017	Commodity Futures Trading Commission	Investigation into Potential Violation of 18 U.S.C. § 208: Acts Affecting a Personal Financial Interest	Investigation	Agency-Wide
03/06/2017	Commodity Futures Trading Commission	Appalachian Regional Commission Office of the Inspector General System Review Report	Audit	Agency-Wide
11/14/2016	Commodity Futures Trading Commission	Audit of CFTC's Financial Statements for FY2016	Other	
10/28/2016	Commodity Futures Trading Commission	Audit of CFTC's Constomer Protection Fund Financial Statements for FY2016	Other	
10/28/2016	Commodity Futures Trading Commission	September 30, 2016 Report	Semiannual Report	Agency-Wide
09/20/2016	Commodity Futures Trading Commission	Inspectpr General's Assessment of the Most Serious Management Challenges Facing the Commodity Futures Trading Commission	Top Management Challenges	DC, US



Report Date	Agency Reviewed / Investigated	Title	Туре	Location
09/19/2016	Commodity Futures Trading Commission	Review of CFTC Travel Card Program	Other	
06/07/2016	Commodity Futures Trading Commission	Review of Management Assurance of Internal Controls	Other	
04/01/2016	Commodity Futures Trading Commission	March 31, 2016 Report	Semiannual Report	Agency-Wide
01/15/2016	Commodity Futures Trading Commission	Audit of CFTC's Financial Statements for FY2015	Other	
10/30/2015	Commodity Futures Trading Commission	Audit of CFTC's Constomer Protection Fund Financial Statements for FY2015	Other	
10/26/2015	Commodity Futures Trading Commission	Inspector General's Assessment of the Most Serious Management Challenges Facing the Commodity Futures Trading Commission	Top Management Challenges	Agency-Wide
09/30/2015	Commodity Futures Trading Commission	September 30, 2015 Report	Semiannual Report	Agency-Wide
04/30/2015	Commodity Futures Trading Commission	March 31, 2015 Report	Semiannual Report	Agency-Wide
11/03/2014	Commodity Futures Trading Commission	September 30, 2014 Report	Semiannual Report	Agency-Wide
04/30/2014	Commodity Futures Trading Commission	March 31, 2014 Report	Semiannual Report	Agency-Wide
11/01/2013	Commodity Futures Trading Commission	Spetember 30, 2013 Report	Semiannual Report	Agency-Wide
04/30/2013	Commodity Futures Trading Commission	March 31, 2013 Report	Semiannual Report	Agency-Wide

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