

Sun, 05 Dec 2021 00:44:39 -0500 EST

Report Date	Agency Reviewed / Investigated	Title	Type	Location
10/29/2021	Commodity Futures Trading Commission	Audit of the CFTC Customer Protection Fund Financial Statements (Fiscal Year 2021)	Audit	Agency-Wide
10/12/2021	Commodity Futures Trading Commission	Management and Performance Challenges Facing the Commodity Futures Trading Commission FY 2021	Top Management Challenges	Agency-Wide
10/05/2021	Commodity Futures Trading Commission	Performance Audit: CFTC's Compliance with the Digital Accountability and Transparency Act (DATA Act) of 2014 (FY 2021 Quarter II)	Audit	Agency-Wide
06/10/2021	Commodity Futures Trading Commission	Semiannual Report to Congress	Semiannual Report	Agency-Wide
01/11/2021	Commodity Futures Trading Commission	Inspection and Evaluation of CFTC's Compliance with E.O. 13950, Combating Race and Sex Stereotyping (September 22, 2020) (CFTC OIG 2021-IE-1)	Inspection / Evaluation	Agency-Wide
12/11/2020	Commodity Futures Trading Commission	Semiannual Report to Congress April 1, 2020 -September 30, 2020	Semiannual Report	Agency-Wide
11/24/2020	Commodity Futures Trading Commission	Audit of the CFTC Customer Protection Fund Financial Statements (Fiscal Year 2020)	Audit	Agency-Wide
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

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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
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
02/26/2018	Commodity Futures Trading Commission	Inspection & Evaluation CFTC Stress-Testing Development Efforts February 26, 2018	Inspection / Evaluation	Agency-Wide
02/08/2018	Commodity Futures Trading Commission	Appendix 35 -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 Management Challenges 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	Performance 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

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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
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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