



December 5, 2025

Executive Summary: *Audit of the U.S. Commodity Futures Trading Commission
Compliance with the Federal Information Security Modernization Act of 2014 for Fiscal Year
2025 (25-AU-03)*

What is the Overall Status?

The independent auditor's assessment concluded that the U.S. Commodity Futures Trading Commission (Commission) information security program continues to operate **effectively**. The Commission's security controls are sufficient by design and operating as intended. Additionally, the report indicated that the Commission has continued actions to mature the program with certain attributes considered optimal.

What We Observed?

The audit did not identify any findings or recommendations for the current period. Additionally, the Commission implemented corrective action to address two of four outstanding recommendations from the FY 2024 FISMA report. Management concurred with the final IG Metric(s) maturity conclusions. Due to the sensitive nature of this report, specific details pertaining to the substance of the recommendations are omitted from publication.

Purpose

To meet our annual FISMA reporting responsibilities, we contracted the review of the information security program and practices of the Commission. The specific audit objectives, based on the legislation's requirements, were to evaluate the effectiveness of the Commission's (1) security controls and techniques associated with the twenty-core and five-supplemental metrics (2) information security policies, procedures, and practices.

Background

FISMA requires each Inspector General (IG) to conduct an annual independent evaluation of their agency's information security program, practices, and controls for select systems. The Office of Management and Budget's (OMB's M-25-04) *Fiscal Year (FY) 2025 Guidance on Federal Information Security and Privacy Requirements, and FY IG FISMA Reporting Metrics v2.0* directs Inspectors General to evaluate the maturity level (from a low of 1 to a high of 5) of their agency's information security program for FY 2025.