



# SEMIANNUAL REPORT TO CONGRESS

October 1, 2025 – March 31, 2026



U.S. Commodity Futures Trading Commission  
OFFICE OF INSPECTOR GENERAL





## A MESSAGE FROM THE INSPECTOR GENERAL



It is with great pleasure that I present the Commodity Futures Trading Commission (CFTC or Commission) Office of Inspector General (OIG) Semiannual Report to Congress for the period of October 1, 2025, to March 31, 2026. This report reflects the exceptional work of the OIG team and their commitment to federal oversight.

During the reporting period, the Office of Audits completed and published the Fiscal Year (FY) 2025 CFTC Financial Statement and FY 2025 Customer Protection Fund (CPF) Financial Statement audits. Additionally, the audit team announced and began work on the FY 2026 Federal Information Security Modernization Act (FISMA), CFTC Whistleblower, and the FY 2026 CFTC Financial Statement and the FY 2026 CPF Financial Statement audits. The audit team also continued to work with the Council of Inspectors General on Financial Oversight in its review of the effectiveness and internal operations of the Financial Stability Oversight Council designation of nonbank financial companies.

During the reporting period, the CFTC OIG Office of Evaluations announced one evaluation of the CFTC's Division of Clearing and Risk Program and completed an internal system of quality management review of the office's Audit division.

The Office of Investigations began the reporting period with five pending complaints. During the reporting period the OIG received a total of 25 complaints and opened two preliminary inquiries (which consolidated certain matters contained in multiple complaints that were duplicative or related). The team referred, assisted, or dismissed 18 complaints and four complaints remained open pending further review.

The previous reporting period identified 28 outstanding recommendations from three separate audits and one evaluation. During this reporting period, the OIG issued no additional recommendations. The agency implemented corrective actions to address three outstanding recommendations. Accordingly, 25 outstanding recommendations were pending at the close of this reporting period. We continue to work closely with the agency to close out recommendations as corrective actions are implemented.

Going forward, the CFTC OIG remains committed to helping the agency to maximize the integrity, efficiency, and effectiveness of CFTC programs and operations; our audits, evaluations, and investigations demonstrate our ongoing commitment to sound government practices. I look forward to continuing to work with Chairman Selig, the CFTC OIG team, the Commission, members of Congress, and my IG colleagues to provide oversight to the CFTC on behalf of the American taxpayers.

**Christopher Skinner**  
*Inspector General*

**Semiannual Report  
of the U.S. Commodity Futures Trading Commission  
Office of the Inspector General**

**October 1, 2025 – March 31, 2026**



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## EXECUTIVE SUMMARY

This semiannual report is issued by the Commodity Futures Trading Commission (CFTC or Commission) Office of the Inspector General (OIG) pursuant to the Inspector General Act of 1978, as amended (IG Act). It summarizes the OIG's activities and accomplishments for the period October 1, 2025, through March 31, 2026. During this period:

- The Office of Audits completed and published the Fiscal Year (FY) 2024 CFTC's Compliance with the Government Charge Card report and issued the FY 2025 Federal Information Security Modernization Act (FISMA) report. In addition, the audit team began working on the FY 2025 CFTC financial statements and the CFTC Customer Protection Fund financial statements audits, and continued work on the FY 2026 FISMA Report. Lastly, the audit team continued working with the Council of Inspectors General on Financial Oversight (CIGFO) in its review of the effectiveness and internal operations of the Financial Stability Oversight Council (FSOC) designation of nonbank financial companies. The OIG team issued the FY 2026 Management and Performance Challenges report.
- The Office of Evaluations announced an evaluation of the agency's Division of Clearing and Risk. Additionally, the Office of Evaluations worked with the Office of Audit to complete the division's first internal system of quality management review.
- The Office of Investigations continues to respond to hotline complaints and conduct investigations. Investigative outcomes will be summarized to our webpage, and investigative milestones are detailed herein. The investigations team began the reporting period with no pending investigations, and opened one investigation during the reporting period. The investigations team began the reporting period with five pending complaints. During the reporting period the OIG received a total of 25 complaints and opened two preliminary inquiries (which consolidated certain matters contained in multiple complaints that were duplicative or related). We referred, assisted, or dismissed 18 complaints and four complaints remained open pending further review.



## CFTC PROGRAMS AND OPERATIONS

Established by statute as an independent agency in 1974, the CFTC assumed responsibilities previously belonging to the U.S. Department of Agriculture since the 1920s. The mission of the CFTC is: “To promote the integrity, resilience, and vibrancy of the U.S. derivatives markets through sound regulation.” The CFTC and its predecessor were established to protect market participants and the public from fraud, manipulation, and other abusive practices in the commodity futures and options markets. After the enactment of the Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank Act), the CFTC’s mission expanded to include oversight of the swaps marketplace.

The Commission consists of five Commissioners appointed by the President, with the advice and consent of the Senate, who serve staggered five-year terms. The President appoints one of the Commissioners to serve as Chairman. No more than three Commissioners may be from the same political party. The CFTC maintains offices in Washington, D.C.; New York, NY; Chicago, IL; and Kansas City, MO. The CFTC organization consists of the following Divisions and Offices (not including OIG):

- Division of Clearing and Risk (DCR)
- Division of Enforcement
- Division of Market Oversight (DMO)
- Market Participants Division (MPD)
- Division of Data (DOD)
- Office of the General Counsel, including the Whistleblower Office (DOE)
- Office of General Counsel (OGC)
- Division of Administration (DA)
- Office of International Affairs (OIA)
- Office of Public Affairs (OPA)
- Office of Legislative and Intergovernmental Affairs (OLIA)
- Office of Customer and Education Outreach (OCEO)



# CFTC OIG MISSION, RESPONSIBILITIES, RESOURCES, ORGANIZATION, AND INDEPENDENCE

## CFTC OIG Mission, History, and Responsibilities

The Office of the Inspector General (OIG) mission is to detect fraud, waste, and abuse and to promote integrity, economy, efficiency, and effectiveness in the CFTC's programs and operations. As such it has the authority to review all of the Commission's programs, activities, and records. As provided in the IG Act, the OIG was established as an independent unit to:

- Promote economy, efficiency, and effectiveness in the administration of CFTC programs and operations, and detect and prevent fraud, waste, and abuse in such programs and operations;
- Conduct and supervise audits, evaluations, and, where necessary, investigations relating to the administration of CFTC programs and operations;
- Review existing and proposed legislation, regulations, and make recommendations concerning their impact on the economy and efficiency of CFTC programs and operations or the prevention and detection of fraud and abuse;
- Recommend policies for, and conduct, supervise, or coordinate other activities carried out or financed by such establishment for the purpose of promoting economy and efficiency in the administration of, or preventing and detecting fraud and abuse in, its programs and operations; and
- Keep the Commission and Congress fully informed about any problems or deficiencies in the administration of CFTC programs and operations and provide recommendations for correction of these problems or deficiencies.

The IG is appointed by the Commission in accordance with the applicable laws and regulations governing appointments within the CFTC. The CFTC OIG conducts audit engagements in accordance with the [Generally Accepted Government Auditing Standards \(GAGAS\)](#) issued by the Government Accountability Office (GAO). The OIG conducts inspections, evaluations, and other covered products in accordance with the [Quality Standards for Inspection and Evaluation](#) issued by the Council of Inspectors General on Integrity and Efficiency (CIGIE). OIG investigations are performed in accordance with the [Quality Standards for Investigations](#) issued by the CIGIE. Additional information can be found on the OIG [webpage](#).

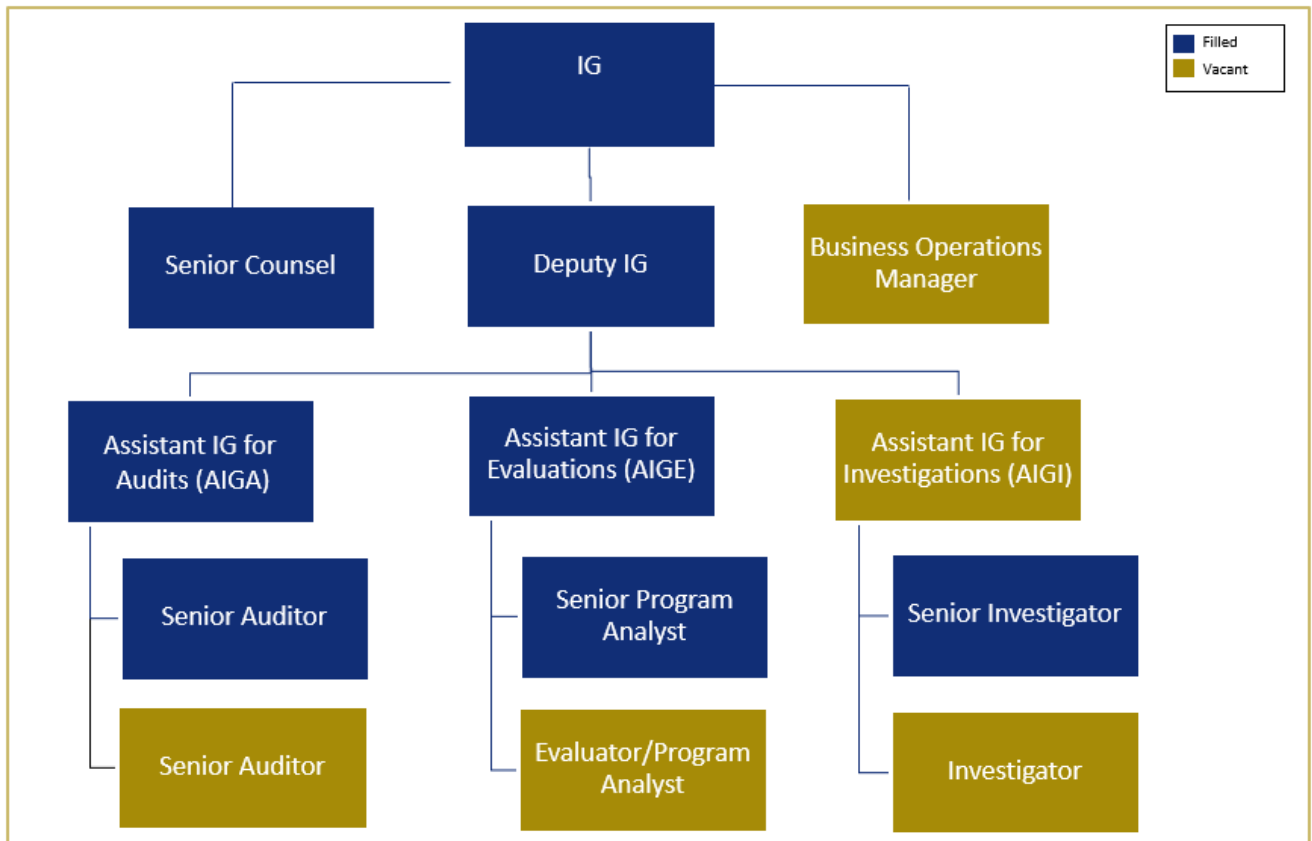
The Dodd-Frank Act established the Financial Stability Oversight Council (FSOC), which is vested with the mission to monitor domestic and international financial regulatory proposals and developments, including insurance and accounting issues, and to advise Congress and make recommendations in such areas that will enhance the integrity, efficiency, competitiveness, and stability of U.S. financial markets.

The Dodd-Frank Act also created the Council of Inspectors General on Financial Oversight (CIGFO) to evaluate the effectiveness and internal operations of FSOC. The CFTC IG is a CIGFO member, and CFTC OIG participates in CIGFO projects within CFTC OIG jurisdiction.

### CFTC OIG Organization and Human Capital

CFTC OIG maintains an Office of Audits, an Office of Evaluations, and an Office of Investigations. The CFTC OIG currently has five vacancies.

**CFTC OIG Organizational Chart**



## OIG Independence; Required Statement Regarding Information Access and Assistance

The OIG operates independently of the Agency. Investigations have been conducted regardless of the rank or party affiliation of the subject. The OIG has conducted audits, evaluations, and reviews without intentional or substantive interference. Furthermore, the OIG will recommend improvements to the administration of agency programs and processes without regard to the party affiliation of any Chairman or Commissioner.

Type of Interference	Number	Explanation
Budget constraints	0	N/A
Resistance to oversight	0	N/A
Delayed information access	0	N/A
Other (Intimidation)	0	N/A



## AUDIT OPERATIONS

The audit team began the reporting period with three audits pending from the prior reporting period. Two were completed during this reporting period and one remained in progress. In addition, the audit team initiated three new audits. The OIG is currently staffed with an Assistant IG for Audits and one senior auditor.

### Completed Audits and Other Audit Projects

#### *FINANCIAL*

##### [Audit of the CFTC’s FY2025 Annual Financial Report \(25-AU-01\)](#)

The objective of this Congressionally mandated audit was to render an opinion on the agency financial report (financial statements) in accordance with GAGAS. The audit was completed by an independent public accountant (IPA) with CFTC OIG Office of Audits oversight. In its audit report the IPA reported:

- The financial statements are presented fairly, in all material respects, in accordance with U.S. generally accepted accounting principles;
- CFTC maintained, in all material respects, effective internal control over financial reporting;
- CFTC’s financial management systems complied substantially with the requirements of the Federal Financial Management Improvement Act;
- No reportable noncompliance with provisions of laws tested or other matters; and
- CFTC received a “clean” opinion with no significant issues noted.

##### [Audit of the CFTC’s FY2025 Customer Protection Fund \(CPF\) \(25-AU-02\)](#)

The objective of this Congressionally mandated audit was to render an opinion on customer protection fund financial statements in accordance with GAGAS. This audit was completed by an IPA with Office of Audit oversight. In its audit report, the IPA reported that CFTC received a “clean” opinion with no significant issues noted.

## ***INFORMATION TECHNOLOGY MANAGEMENT AND SECURITY***

### **Audit of the CFTC’s FY2025 Compliance with the Federal Information Security Management Act (FISMA) (25-AU-03)**

The CFTC OIG contracted with an independent auditor to conduct the FY 2024 Audit of CFTC’s compliance with FISMA. The auditor conducted the audit in accordance with GAGAS and is responsible for the report and its conclusions. The OIG monitored the contractor’s performance throughout the performance audit and reviewed the report and related documentation.

The auditor’s assessment found that the CFTC’s information security program continues to operate effectively. The Commission’s security controls are sufficient by design and operating as intended. Management acknowledged that two recommendations are still outstanding to enhance the maturity of the program. Due to the sensitive nature of this report, specific details pertaining to the substance of the recommendations are omitted from publication, but an executive summary is published to our webpage.

### **Ongoing Audits and Other Audit Projects**

## ***FINANCIAL***

All financial audits are being performed by an Independent Public Account firm with oversight by the Office of Audits.

### **Audit of the CFTC’s FY 2026 Annual Financial Report (26-AU-01)**

The objective of this Congressionally mandated audit is to render an opinion on the agency financial report (financial statements) in accordance with GAGAS. The audit remains ongoing

### **Audit of the CFTC’s FY 2026 Customer Protection Fund (CPF) (26-AU-02)**

The objective of this Congressionally mandated audit is to render an opinion on CFTC customer protection fund financial statements in accordance with GAGAS. The audit remains ongoing.

## ***RISK MANAGEMENT***

### **Audit of the Financial Stability Oversight Council (FSOC) Designation of Nonbank Financial Companies (24-AU-06)**

The objectives of this audit include assessment of: (1) the sufficiency of 2023 FSOC Guidance on Nonbank Financial Company Determinations to effectively respond to financial stability threats under Section 113 of Dodd-Frank; (2) the extent that the FSOC Members were engaged in the development of the 2023 guidance considering such factors as lessons learned and any identified barriers from earlier guidance; and (3) the impact on the nonbank designation process as a result of the 2023 guidance compared to the preexisting guidance and process. Council of Inspectors General on Financial Oversight (CIGFO) established a Working Group that is led by the Treasury OIG. Currently, CIGFO is soliciting comments from the Working Group for final edits to the report.

### **Audit of the CFTC’s Whistleblower Program (26-AU-04)**

The objectives of this audit include assessing the effectiveness of the program’s governance, internal controls, and processes for administering whistleblower tips, investigations, and award determinations. Additionally, it will assess whether the program operations are consistent with statutory and regulatory requirements and resources are managed effectively.

## ***INFORMATION TECHNOLOGY MANAGEMENT AND SECURITY***

### **Audit of CFTC’s FY 2026 Compliance with the Federal Information Security Management Act (FISMA) (26-AU-03)**

The objective of this Congressionally mandated audit is to evaluate the effectiveness of the Commission’s information security program and practices and determine the maturity level the Commission achieved for each of the core metrics and supplemental metrics outlined in the FY 2026 Inspectors General FISMA Reporting Metrics. The audit remains ongoing.

## **Reports and Reviews Over Six Months Old; Required Statements**

### **Required Statements Regarding Commission Response Exceeding 60 Days, and Regarding Management Decisions Not Made**

There were no audit or evaluation reports issued during the reporting period lacking Commission response within 60 days, and no instances of an audit or evaluation report issued before the commencement of the reporting period for which a management decision had not been made by the end of the reporting period.

### **Required Statements Regarding Revised Management Decisions, and Regarding Inspector General Disagreement**

No management decisions were lacking or revised during the reporting period, and the Inspector General did not disagree with any management decisions on OIG audit or evaluation recommendations during the reporting period.

### **Required Statements Regarding Significant Recommendations that have not been Completed, and Audit, Evaluation, and Investigation Reports for which there are any Outstanding Unimplemented Recommendations, Including Aggregate Potential Cost Savings**

The previous reporting period identified 28 outstanding recommendations from three separate audits and one evaluation. During this reporting period, the OIG issued no additional recommendations. The agency implemented corrective actions to address three outstanding recommendations. Accordingly, 25 outstanding recommendations were pending at the close of this reporting period, with none less than six months old. We continue to work closely with the agency to close out recommendations as corrective actions are implemented.

**Table 1: Unimplemented Recommendations**

Fiscal Year	Number of Reports with Unimplemented Recommendations	Number of Unimplemented Recommendations	Dollar Value of Aggregate Potential Cost Savings	No Comment Returned w/in 60 days
2025	4	25	N/A	0
<b>Totals</b>	<b>4</b>	<b>25</b>	<b>N/A</b>	<b>0</b>

**Table 2: Detail of Unimplemented Recommendations**

Fiscal Year	Audit/Evaluation/Investigation Reports	Unimplemented Recommendations
2025	Audit of the U.S. Commodity Futures Trading Commission Compliance with the Federal Information Security Modernization Act of 2014 for Fiscal Year 2024 (24-AU-04)	<b>Two</b> recommendations to assist the Commission in strengthening its information security program and integrating into the agency’s enterprise risk management program.
2025	Audit of Enterprise Risk Management Program (24-AU-05)	<b>Sixteen</b> recommendations to enhance the risk identification, mitigation, and strategic alignment of the CFTC.
2025	Audit of CFTC’s Compliance with the Government Charge Card Abuse Prevention Act (25-AU-07)	<b>Four</b> recommendations to enhance management and oversight of the agency’s purchase card programs.
2025	Evaluation of CFTC’s Anti-Harassment Program (25-E-01)	<b>Three</b> recommendations to improve program operations.



## EVALUATION OPERATIONS

The evaluations team began the reporting period with one evaluation pending. The team worked with agency stakeholders on several outstanding recommendations, eventually closing one recommendation from the Audit of CFTC’s Compliance with the Government Charge Card Abuse Prevention Act (24-AU-07). The OIG is currently staffed with an Assistant IG for Evaluations and one senior evaluator.

### Completed and Ongoing Evaluations and Other Reports

#### Evaluation of CFTC OIG’s Office of Audit Internal System of Quality Management

During the Reporting Period, the Office of Evaluations with assistance from the Office of Audits updated the internal system of quality control, and completed the first internal system of quality management review of the Office of Audits.

#### Evaluation of CFTC’s Division of Clearing and Risk (DCR)’s Policies and Procedures (26-E-01)

On March 31, 2026, the Office of Evaluations announced a review of CFTC’s Division of Clearing and Risk (DCR)’s Policies and Procedures. This assessment will evaluate whether DCR’s policies and procedures support mission objectives and can adapt to the evolving nature of the regulatory risk environment. Recent transitions in leadership across the agency as well as the expanding and evolving regulatory environment have left many divisions traversing uncertain territories due to the risk of policies and procedures not adapting in step. Additionally, some divisions may have lost valuable skill sets due to the Deferred Resignation Program (DRP) option, federal government-wide Reductions-in-Force (RIFs) and other significant human capital factors. Well documented policies and procedures ensure consistent reviews and analysis, reduce risk of non-compliance with laws and regulations, and ensure integrity and reliability of a division’s efforts in meeting the agency’s mission. Fieldwork began in April 2026, and the evaluation is projected to finish in July 2026.



## INVESTIGATIONS

The investigations team continues to process complaints and update its investigations manual. During the reporting period, the OIG was staffed with an Assistant IG for Investigations and one investigative attorney.

### People and Processes

The OIG's investigative program aims to add value to the agency's programs and operations by objectively and independently inquiring into allegations of fraud, waste, abuse, misconduct, and mismanagement. OIG investigations remain confidential to the extent permitted by law while pending. Summaries of completed Reports of Investigations will be uploaded to our webpage and included in our Semiannual Reports. Report of Investigation summaries will protect the confidentiality of all involved consistent with applicable law. The OIG recently implemented an updated online [hotline portal](#) through which most complaints are received; however, the OIG also receives complaints via telephone, email, and walk-in contacts.

### Complaints

The investigations team began the reporting period with five pending complaints. The prior OIG SAR reported four pending complaints; however, the OIG received a fifth complaint at close of business on the final day of the prior reporting period, during which time the OIG was preparing for the shutdown due to a lapse in government funding. During the reporting period the OIG received a total of 25 complaints and opened two preliminary inquiries (which consolidated certain matters contained in multiple complaints that were duplicative or related). We referred, assisted, or dismissed 18 complaints and four complaints remained open pending further review.

### Investigations and Required Disclosures

The investigations team began the reporting period with no pending investigations, and opened one investigation during the reporting period. There were no findings of whistleblower retaliation during this reporting period and no findings involving a senior government employee where allegations of misconduct were substantiated.

All open investigations are confidential, as are the content of incoming allegations. The CFTC OIG does not disclose non-public details regarding open investigations absent good cause; if an ongoing investigation is disclosed to the public, it will be noted here.

During the reporting period, the OIG referred one matter to the Department of Justice Public Integrity Division for potential criminal prosecution. The OIG secured no indictments from prior referrals nor identified any findings of whistleblower retaliation.



## TOP MANAGEMENT CHALLENGES

In accordance with the Reports Consolidation Act of 2000, each year we identify the most serious management and performance challenges facing the Commission and provide a brief assessment of the Commission's progress in addressing those challenges. Each challenge area is related to the CFTC's mission and reflects continuing vulnerabilities and emerging issues. The following identifies the CFTC's most significant management and performance challenges for FY 2026, based on our experience and observations from our oversight work:

1. Pending Legislation: Regulation of Digital Assets
2. Expiration of Customer Protection Fund Expense Account (Whistleblower Program)
3. CFTC Headquarters Relocation
4. Human Capital Management
5. Maturing Enterprise Risk Management and Maintaining a Proactive Cybersecurity Posture

We identified the Commission's major management and performance challenges by recognizing and assessing key themes from OIG audits, evaluations, hotline complaints, investigations, and an internal risk assessment, as well as reports published by external oversight bodies, such as the Office of Personnel Management and the Government Accountability Office. We issued our report in December 2025.



## LEGISLATIVE & REGULATORY PROJECTS

### Introduction and Summary

Section 4(a)(2) of the IG Act directs each OIG to review the impact of existing and proposed legislation and regulations on agency programs and operations and make recommendations regarding more effective or efficient alternatives or protections against fraud and abuse, as appropriate.

The OIG notifies the responsible CFTC Divisions and Offices as to any concerns with draft and final documents relating to legislation and regulations and may initiate contact with Congressional staff. Formal comments were not submitted during this reporting period.

### Legislative Activities

The OIG reviews legislation impacting programs and operations of the CFTC, and initiates contact with the responsible CFTC Divisions and Offices, and Congressional staff concerning various agency and IG issues as appropriate. In addition, the IG serves on the CIGIE Legislation Committee, which comments on proposed amendments to the IG Act and other legislation affecting the IG community. CFTC OIG participated in CIGIE Legislation Committee efforts. No formal projects were undertaken during this reporting period.

### Pending Legislation

During the prior reporting period, the House of Representatives passed H.R. 3633, the Digital Asset Market Clarity Act of 2025 (CLARITY Act), and it was received in the Senate in September 2025. During this reporting period, the Senate continued its consideration of the CLARITY Act and issued a bipartisan discussion draft (U.S. Senate Committee on Agriculture, Nutrition & Forestry, *Boozman, Booker Release Bipartisan Market Structure Discussion Draft* (Nov. 10, 2025)).

In addition, CFTC OIG monitored relevant Presidential and Commission issuances during the reporting period, including the President's *National AI Legislative Framework* (March 20, 2026), *CFTC Seeks Public Comment on Advanced Notice of Proposed Rulemaking Relating to Prediction Markets* (March 12, 2026), *CFTC and SEC Announce Historic Memorandum of Understanding Between Agencies* (March 11, 2026), *CFTC Joins SEC to Clarify the Application of Federal Securities Laws to Crypto Assets* (March 17, 2026), *Chairman Selig Announces Formation of New Innovation Task Force* (March 24, 2026).

We recognized potential implementation of the CLARITY Act and related legislation as an FY 2026 management challenge (CFTC OIG, *Management and Performance Challenges, Fiscal Year 2026* (Dec. 3, 2026)). We look forward to the Commission's further involvement with these emerging issues, as well as our oversight role.



## PEER REVIEWS

An important function in each agency OIG is the peer review process. GAGAS requires that audit organizations conducting audits of federal agencies undergo peer reviews every three years. The OIG community has implemented a process to meet this requirement and, in accordance with GAGAS and CIGIE peer review quality control and assurance standards, an OIG audit team assesses other OIGs' audit functions. The purpose of the peer review is to determine whether the reviewed audit organization's internal quality control systems are adequate and provide reasonable assurance that applicable auditing standards, policies and procedures are met. We are required to include in each OIG semiannual report:

- The results of any peer review conducted by another Office of Inspector General during the reporting period; or if no peer review was conducted within that reporting period, a statement identifying the date of the last peer review conducted by another Office of Inspector General;
- A list of any outstanding recommendations from any peer review conducted by another Office of Inspector General that have not been fully implemented, including a statement describing the status of the implementation and why implementation is not complete; and
- A list of any peer reviews conducted by the Inspector General of another Office of the Inspector General during the reporting period, including a list of any outstanding recommendations made from any previous peer review (including any peer review conducted before the reporting period) that remain outstanding or have not been fully implemented.

During the reporting period, the CFTC OIG was not subject to peer review and did not conduct any peer reviews of other entities. Accordingly, the results from the latest CFTC OIG peer reviews are detailed below.

### **Most Recent Peer Review of the CFTC OIG Audit Function**

The U.S. Capitol Police (USCP) OIG reviewed the system of quality control for the CFTC OIG audit organization in effect for the year ending March 31, 2025. The USCP OIG concluded that our system of quality control was suitably designed and executed, in all material respects, to provide reasonable assurance of performance and reporting in conformity with Generally Accepted Government Auditing Standards (GAGAS). The USCP OIG recommended improvements to certain audit documentation processes; my office concurred with those recommendations and has implemented them.

### **Most Recent Peer Review of the CFTC OIG Investigation Function**

Investigative peer reviews are conducted under CIGIE peer review standards to evaluate compliance with the requirements of the [\*CIGIE Quality Standards for Investigations\*](#) and the adequacy of internal safeguards and management procedures. CFTC OIG last voluntarily submitted to a peer review of its investigative function in 2013; the Federal Trade Commission, Office of Inspector General, reviewed

the system of quality control for the CFTC OIG investigative function and concluded that the system of internal safeguards and management procedures for the CFTC OIG investigative function complied with the quality standards adopted by CIGIE and provided a reasonable assurance of conforming with professional standards in the conduct of investigations. Accordingly, there are no open recommendations from this peer review.

### **Most Recent Peer Review of the CFTC OIG Evaluation Function**

In August 2024, the AmeriCorps Office of the Inspector General (OIG) completed a Modified Inspection and Evaluation Peer Review Report of the CFTC OIG's Inspection and Evaluation (I&E) Program for the period ending March 31, 2024. This review consisted of an examination of the office's I&E policy as the CFTC OIG did not issue any I&E reports during the period under review. The AmeriCorps OIG identified instances in which the I&E policy was inconsistent with the updated *CIGIE's Quality Standards for Inspection and Evaluation, December 2020* (Blue Book), and recommended that the CFTC OIG update its policy. We concurred with the recommendations and took corrective action during the prior reporting period. Accordingly, there are no open recommendations from this peer review.

### **CFTC OIG Inspections and Evaluations Peer Review of U.S. Consumer Product Safety Commission OIG**

In February 2026, the CFTC OIG Inspections and Evaluations Program completed an external modified scope peer review of the Inspections and Evaluations function at the U.S. Consumer Product Safety Commission OIG. There were no significant findings or recommendations identified.

There are no open recommendations from prior peer reviews conducted by CFTC OIG.



## **SUMMARY OF FINAL REPORTS NOT MADE PUBLIC**

All reports issued during this reporting period were published as required by law.



## CONTACTING THE OFFICE OF THE INSPECTOR GENERAL

The CFTC OIG is located at 1155 21st Street, N.W., Washington, D.C. 20581. Regular business hours are between 8:30 AM and 5:00 PM, Monday through Friday, except federal holidays. Please visit the [OIG webpage](#) for additional information.

If you wish to file a hotline complaint, please visit the [hotline portal](#) or call the OIG hotline at 202-418-5510. You may choose to remain confidential or file a complaint anonymously. If you wish to file a complaint with the CFTC OIG, please provide sufficient information so that we can initiate an inquiry as insufficient information can hinder the OIG's investigation.

The OIG will protect your confidentiality to the fullest extent practicable. In very rare circumstances, it may be necessary for the OIG to disclose the identity of its sources. For example, in a criminal investigation, the OIG may be required to reveal the identity of its source to the Assistant U.S. Attorney who is handling the case. If the OIG is required to reveal the identity of a source who requested confidentially, the source will be notified prior to disclosure and provided an explanation as to why his or her identity must be revealed.



# APPENDICES

## Appendix 1 – Reports Issued with Questioned Costs

October 1, 2025 – March 31, 2026

		Number	Dollar Value Thousands Questioned	Unsupported
A.	For which no management decision has been made by the commencement of the reporting period	0	0	0
B.	Which were issued during the reporting period	0	0	0
Subtotals (A + B)		0	0	0
C.	For which a management decision was made during the reporting period	0	0	0
	( i ) dollar value of disallowed costs	0	0	0
	( ii ) dollar value of costs not disallowed	0	0	0
D.	For which no management decision has been made by the end of the reporting period	0	0	0

## Appendix 2 – Reports Issued with Recommendations That Funds Be Put to Better Use

October 1, 2025 – March 31, 2026

		Number	Dollar Value Thousands
A.	For which no management decision has been made by the commencement of the reporting period	0	0
B.	Which were issued during the reporting period	0	0
Subtotals (A + B)		0	0
C.	For which a management decision was made during the reporting period	0	0
	( i ) dollar value of recommendations that were agreed to by management	0	0
	( ii ) dollar value of recommendations that were not agreed to by management	0	0
D.	For which no management decision has been made by the end of the reporting period	0	0

## Appendix 3 – Index of IG Act Reporting Requirements

5 USC Title 4	Description	Page/Link
§ 404(a)(2)	Review of Legislation and Regulations	<a href="#">16</a>
§ 405(b)(1)	Significant Problems, Abuses and Deficiencies	None
§ 405(b)(2)	Recommendations with Respect to Significant Problems	None
§ 405(b)(3)	Recommendations from Previous Reporting Periods that have not been Completed	<a href="#">12</a>
§ 405(b)(4)	Matters Referred to Prosecutorial Authorities	None
§ 405(b)(5)	Summary of Instances where Information was Refused	None
§ 405(b)(6)	Completed Audit Reports	<a href="#">9</a>
§ 405(b)(7)	Summary of Significant Reports	<a href="#">9-14</a>
§ 40b(b)(8)	Statistical Table – Questioned Costs	<a href="#">21</a>
§ 405(b)(9)	Statistical Table – Funds Recommended for Better Use	<a href="#">21</a>
§ 405(b)(10)	Audit Reports Issued before the Start of the Reporting Period Lacking Management Decision	None
§ 405(b)(10)	Audit Reports without Commission Response after 60 Days	None
§ 405(b)(10)	Audit Reports Issued before this Reporting Period with Outstanding Unimplemented Recommendations, with Aggregate Potential Cost Savings	<a href="#">11</a>
§ 405(b)(11)	Significant Revised Management Decisions	None
§ 405(b)(12)	Management Decisions with which the IG Disagrees	None
§ 405(b)(14)	Peer Review Information	<a href="#">17-18</a>
§ 405(b)(17), (18)	Investigative Statistical Information and Metrics	<a href="#">14</a>
§ 405(b)(19)	Substantiated Misconduct in Investigations Involving a Senior Government Employee	None
§ 405(b)(20)	Whistleblower Retaliation Findings	None
§ 405(b)(21)	Attempted Agency Interference with OIG Independence	None
§ 405(b)(22)	Undisclosed Inspections, Evaluations, Audits, and Investigations	None
§ 406(c)	Summary of reports to Chairman where assistance was refused	None



U.S. Commodity Futures Trading Commission  
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