

Commodity Futures Trading Commosion Commodity Futures Trading Commosion Commodity Futures Tradin	Report Date	Agency Reviewed / Investigated	Title	Туре	Location
Commodity Futures Trading Commission  CFTC Olis PY 2024 Work Plan  Other  Agency-Wide  Commodity Futures Trading Commission  CFTC Financial Statements Audit: Fiscal Year (FY) 2023  Audit  Agency-Wide  Commodity Futures Trading Commission  Commodity Futures Tra	02/01/2024		CFTC Stress-Testing Development Efforts (February 1,	Other	Agency-Wide
11/15/2023 Commodity Futures Trading Commission	01/29/2024		CFTC OIG Strategic Plan for FY 2024 - FY 2028	Other	Agency-Wide
11/13/2023 Commodity Futures Trading Commission Semiannual Report to Congress April 1, 2023 - Semiannual Report Agency-Wide Commodity Futures Trading Commission Commodity Futures Trading Commission Management Challenges - Fiscal Year 2022 Audit Agency-Wide Commodity Futures Trading Commission Management Challenges - Fiscal Year 2022 Top Management Agency-Wide Commission Management Challenges - Fiscal Year 2022 Semiannual Report Agency-Wide Commission Commodity Futures Trading Commission Management Agency Futures Trading Commission Management Agency Futures Trading Commission Management Agency-Wide Commodity Futures Trading Commodity F	01/29/2024		CFTC OIG FY 2024 Work Plan	Other	Agency-Wide
10/31/2023 Commodity Futures Trading Commission Panagement Challenges Piscal Teal 2023 Challenges Agency-Wide Commission September 30, 2023 Semiannual Report to Congress April 1, 2023 - Semiannual Report Agency-Wide Commission CPF Audit Opinion and Financial Statements FY 2023 Audit Agency-Wide Opinion and Financial Statements FY 2023 Audit Agency-Wide Opinion Commission Commodity Futures Trading Commission CPF Audit Opinion and Financial Statements FY 2022 Audit Agency-Wide Opinion Commodity Futures Trading Commission Commodity Futures Trading Commission Commodity Futures Trading Commission Management Challenges – Fiscal Year 2022 Audit Agency-Wide Opinion Commission Management Challenges – Fiscal Year 2022 Top Management Challenges — Grammodity Futures Trading Commission March 31, 2023 Semiannual Report to Congress October 1, 2021 — Semiannual Report Agency-Wide Commission March 31, 2022 — Commodity Futures Trading Commission March 31, 2022 — Commodity Futures Trading Commission Modified Peer Review Report of the Audit Function Review Agency-Wide Commission Modified Peer Review Report of the Audit Function Review Agency-Wide Commission Commission Modified Peer Review Report of the Audit Function Review Agency-Wide Commission Commodity Futures Trading Commission Commodity Futures Trading Commission Modified Peer Review Report of the Audit Function Review Agency-Wide Commission Modified Peer Review Report of Comeral Semiannual Report to Commodity Futures Trading Commission Modified Peer Review Report of Comeral Semiannual Report to Commodity Futures Trading Commission Modified Peer Review Report of Comeral Semiannual Report to Commodity Futures Trading Commission FY 2021 Audit Agency-	11/15/2023	,	CFTC Financial Statements Audit: Fiscal Year (FY) 2023	Audit	Agency-Wide
10/30/2023 Commodity Futures Trading Commission CPF Audit Opinion and Financial Statements FY 2023 Audit Agency-Wide Commodity Futures Trading Commission March 31, 2023 Semiannual Report to Congress October 1, 2022 - Semiannual Report Agency-Wide Commission Commodity Futures Trading Commission Management Challenges - Fiscal Year 2022 Audit Agency-Wide Commission Commission Management Challenges - Fiscal Year 2022 Top Management Challenges Commission Commissi	11/13/2023		Management Challenges Fiscal Year 2023		Agency-Wide
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Commodity Futures Trading Commission	10/30/2023		CPF Audit Opinion and Financial Statements FY 2023	Audit	Agency-Wide
11/30/2022 Commodity Futures Trading Commission CPF Audit Opinion and Financial Statements FY 2022 Audit Agency-Wide 10/27/2022 Commodity Futures Trading Commission CPF Audit Opinion and Financial Statements FY 2022 Audit Agency-Wide 10/27/2022 Commodity Futures Trading Commission CPF Audit Opinion and Financial Statements FY 2022 Audit Agency-Wide 20/26/2022 Commodity Futures Trading Commission Management Challenges - Fiscal Year 2022 Top Management Challenges Commission Commission Management Challenges - Fiscal Year 2022 Top Management Challenges Commission Commission Semiannual Report to Congress October 1, 2021 Semiannual Report March 31, 2022 Commodity Futures Trading Commission Commission Commission Commission Commission Commission Commission Review: Payment Integrity Information Act Review Agency-Wide 2019 Commodity Futures Trading Commission Modified Peer Review Report of the Audit Function Review Agency-Wide 2019 Commodity Futures Trading Commission Modified Peer Review Report of the Audit Function Review Agency-Wide 2019 Commodity Futures Trading Commission Congress April 1, 2021 - September 30, 2021 Semiannual Report Agency-Wide 2019 Commodity Futures Trading Commission Congress April 1, 2021 - September 30, 2021 Audit Agency-Wide 2019 Commodity Futures Trading Commission CFTC Financial Statements Audit: Fiscal Year (FY) 2021 Audit Agency-Wide 2019/2021 Commodity Futures Trading Commission CPF Audit Opinion and Financial Statements FY 2021 Audit Agency-Wide 2014 (FY 2021 Quarter II) Accountability and Transparency Act (DATA Act) of 2014 (FY 2021 Quarter II) Commission Commission Commission Semiannual Report Agency-Wide 2014 (FY 2021 Quarter II) Semiannual Report Agency-Wide 2014 (FY 2021 Quarter II) Engetion and Evaluation of CFTC's Compliance with the Digital Accountability and Transparency Act (DATA Act) of 2014 (FY 2021 Quarter II) Engetion and Evaluation of CFTC's Compliance with the Digital Accountability and Transparency Act (DATA Act) of 2014 (FY 2021 Quarter II) Engetion Agency-Wide 2014 (FY	06/20/2023		, ,	Semiannual Report	Agency-Wide
11/14/2022 Commodity Futures Trading Commission CPF Audit Opinion and Financial Statements FY 2022 Audit Agency-Wide 20/26/2022 Commodity Futures Trading Commission Management Challenges - Fiscal Year (FY) 2022 Audit Agency-Wide 20/26/2022 Commodity Futures Trading Commission Management Challenges - Fiscal Year 2022 Top Management Challenges Commission Commodity Futures Trading Commission Management Challenges - Fiscal Year 2022 Top Management Challenges Commission Commodity Futures Trading Commission March 31, 2022 Semiannual Report Agency-Wide 20/20/2022 Commodity Futures Trading Commission Of 2019 Commodity Futures Trading Commission Of 2019 Modified Peer Review Payment Integrity Information Act Review Agency-Wide 20/20/3/2022 Commodity Futures Trading Commission Modified Peer Review Report of the Audit Function Review Agency-Wide 20/20/3/2022 Commodity Futures Trading Commission Office of the Inspector General Semiannual Report to Commodity Futures Trading Commission Congress April 1, 2021 - September 30, 2021 Semiannual Report Agency-Wide 20/20/2021 Commodity Futures Trading Commission Management and Performance Challenges Facing the Commodity Futures Trading Commission Commodity Futures Trading Commission Prize Sompliance with the Digital Accountability and Transparency Act (DATA Act) of 20/20/20/20/20/20/20/20/20/20/20/20/20/2	05/12/2023			Review	Agency-Wide
Commodity Futures Trading Commission	11/30/2022			Semiannual Report	Agency-Wide
10/21/2022 Commission CPF Audit Opinion and Financial Statements FT 2022 Audit Agency-Wide O9/26/2022 Commodity Futures Trading Commission Management Challenges - Fiscal Year 2022 Top Management Challenges Agency-Wide O6/24/2022 Commodity Futures Trading Commission March 31, 2022 Semiannual Report to Congress October 1, 2021 - Semiannual Report Agency-Wide O6/17/2022 Commodity Futures Trading Commission Modified Peer Review: Payment Integrity Information Act of 2019 Review Agency-Wide O2/03/2022 Commodity Futures Trading Commission Modified Peer Review Report of the Audit Function Review Agency-Wide O2/03/2022 Commodity Futures Trading Comgress April 1, 2021 - September 30, 2021 Semiannual Report Agency-Wide O2/17/2021 Commodity Futures Trading Comgress April 1, 2021 - September 30, 2021 Audit Agency-Wide O2/29/2021 Commodity Futures Trading Commission CPF Audit Opinion and Financial Statements FY 2021 Audit Agency-Wide O2/29/2021 Commodity Futures Trading Commission CPF Audit Opinion and Financial Statements FY 2021 Audit Agency-Wide O2/29/2021 Commodity Futures Trading Commission Management and Performance Challenges Facing the Commodity Futures Trading Commission FY 2021 Commodity Futures Trading Commission PY 2021 Commodity Futures Trading Commission PY 2021 Audit Agency-Wide O2/14 (FY 2021 Quarter II) Accountability and Transparency Act (DATA Act) of 2014 (FY 2021 Quarter II) Semiannual Report Agency-Wide Commodity Futures Trading Commission Semiannual Report to Congress Semiannual Report Agency-Wide Commodity Futures Trading Commission PY 2021 Commodity Futures Trading Commission Semiannual Report to Congress Semiannual Report Agency-Wide Commodity Futures Trading Commission PY 2021 Quarter II) Inspection / Evaluation Pyton Agency-Wide Commodity Futures Trading Commission Pyton Pyt	11/14/2022		CFTC Financial Statements Audit: Fiscal Year (FY) 2022	Audit	Agency-Wide
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Commission  CPF Addit Opinion and Financial Statements FY 2021  Audit Agency-Wide  10/12/2021 Commodity Futures Trading Commission  Commodity Futures Trading Commission FY 2021  Commodity Futures Trading Commission  Commodity Futures Trading Commission  Performance Audit: CFTC's Compliance with the Digital Accountability and Transparency Act (DATA Act) of 2014 (FY 2021 Quarter II)  Commodity Futures Trading Commission  Commodity Futures Trading C	12/17/2021	,	CFTC Financial Statements Audit: Fiscal Year (FY) 2021	Audit	Agency-Wide
Commodity Futures Trading Commission FY 2021 Challenges Agency-Wide  Commodity Futures Trading Commission FY 2021 Challenges Agency-Wide  Commodity Futures Trading Commission Performance Audit: CFTC's Compliance with the Digital Accountability and Transparency Act (DATA Act) of 2014 (FY 2021 Quarter II)  Commodity Futures Trading Commission Semiannual Report to Congress Semiannual Report Agency-Wide  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)  Commodity Futures Trading Commission Semiannual Report to Congress April 1, 2020 Semiannual Report Agency-Wide  Commodity Futures Trading Commission Semiannual Report to Congress April 1, 2020 Semiannual Report Agency-Wide  Commodity Futures Trading Commodity Futures Trading Commission Semiannual Report Audit Opinion Audit Commission Additional Commodity Futures Trading Commodity Futures Tradi	10/29/2021		CPF Audit Opinion and Financial Statements FY 2021	Audit	Agency-Wide
10/05/2021 Commodity Futures Trading Commission Accountability and Transparency Act (DATA Act) of 2014 (FY 2021 Quarter II)  O6/10/2021 Commodity Futures Trading Commission Semiannual Report to Congress Semiannual Report Agency-Wide  O1/11/2021 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)  12/11/2020 Commodity Futures Trading Commission Semiannual Report to Congress April 1, 2020 Semiannual Report Agency-Wide  11/24/2020 Commodity Futures Trading Commodity Futures Trading Commission Semiannual Report Agency-Wide	10/12/2021				Agency-Wide
Commission  Commission  Commission  Commodity Futures Trading Commission  Semiannual Report to Congress April 1, 2020 Semiannual Report  Agency-Wide  11/24/2020  Commodity Futures Trading Commodity Futures	10/05/2021		Accountability and Transparency Act (DATA Act) of	Audit	Agency-Wide
01/11/2021 Commodity Futures Trading Commission  E.O. 13950, Combating Race and Sex Stereotyping (September 22, 2020) (CFTC OIG 2021-IE-1)  12/11/2020 Commodity Futures Trading Commission  Semiannual Report to Congress April 1, 2020 Semiannual Report Agency-Wide  11/24/2020 Commodity Futures Trading  Commodity Futures Trading  2020 Financial Statement Audit Opinion	06/10/2021		Semiannual Report to Congress	Semiannual Report	Agency-Wide
Commission -September 30, 2020 Semiannual Report Agency-Wide  11/24/2020 Commodity Futures Trading 2020 Financial Statement 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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