



U.S. COMMODITY FUTURES TRADING COMMISSION

Three Lafayette Centre
1155 21st Street, NW, Washington, DC 20581
Telephone: (202) 418-5100
Facsimile: (202) 418-5521
www.cftc.gov

The Secretariat

November 21, 2019

ELECTRONIC MAIL

United States Senate
Washington, DC 20510

U.S. House of Representatives
Washington, DC 20515

Re: Transmittal of the Semiannual Report of the Office of the Inspector General (OIG) of the Commodity Futures Trading Commission for the period from April 1, 2019 through September 30, 2019.

Dear Chairs and Ranking Members:

A copy of the Semiannual Report of the Office of the Inspector General (OIG) of the Commodity Futures Trading Commission for the period from April 1, 2019 through September 30, 2019 is enclosed. This report, with the accompanying statistical tables and required explanations, is submitted to you in accordance with the requirements of Section 5 of the Inspector General Act of 1978, as amended. The report provides a description of the resources and procedures of the OIG and its audit, investigation, and legislative and regulatory review programs.

During this reporting period, there were two audit reports over six months old where recommendations for corrective action had not been completed.

If you have any questions regarding the OIG Semiannual Report, please contact Mr. A. Roy Lavik, the Inspector General, at 202-418-5110.

Sincerely,

Christopher J. Kirkpatrick
Secretary of the Commission

Enclosures

November 21, 2019

Page 2

Recipients:

The Honorable Collin C. Peterson
Chairman
Committee on Agriculture
U.S. House of Representatives
Washington, DC 20515

The Honorable Mike Conaway
Ranking Member
Committee on Agriculture
U.S. House of Representatives
Washington, DC 20515

The Honorable David Albert Scott
Chairman
Subcommittee on Commodity Exchanges, Energy and Credit
Committee on Agriculture
U.S. House of Representatives
Washington, DC 20515

The Honorable Austin Scott
Ranking Member
Subcommittee on Commodity Exchanges, Energy and Credit
Committee on Agriculture
U.S. House of Representatives
Washington, DC 20515

The Honorable Pat Roberts
Chairman
Committee on Agriculture, Nutrition and Forestry
United States Senate
Washington, DC 20510

The Honorable Debbie Stabenow
Ranking Member
Committee on Agriculture, Nutrition and Forestry
United States Senate
Washington, DC 20510

November 21, 2019

Page 3

The Honorable Nita M. Lowey
Chairman
Committee on Appropriations
U.S. House of Representatives
Washington, DC 20515

The Honorable Kay Granger
Ranking Member
Committee on Appropriations
U.S. House of Representatives
Washington, DC 20515

The Honorable Sanford D. Bishop
Chairman
Subcommittee on Agriculture, Rural Development,
Food and Drug Administration, and Related Agencies
Committee on Appropriations
U.S. House of Representatives
Washington, DC 20515

The Honorable Jeff Fortenberry
Ranking Member
Subcommittee on Agriculture, Rural Development, Food and Drug Administration,
and Related Agencies
Committee on Appropriations
U.S. House of Representatives
Washington, DC 20515

The Honorable Richard C. Shelby
Chairman
Committee on Appropriations
United States Senate
Washington, DC 20510

The Honorable Patrick Leahy
Vice Chairman
Committee on Appropriations
United States Senate
Washington, DC 20510

November 21, 2019

Page 4

The Honorable John Kennedy
Chairman
Subcommittee on Financial Services and General Government
Committee on Appropriations
United States Senate
Washington, DC 20510

The Honorable Christopher Coons
Ranking Member
Subcommittee on Financial Services and General Government
Committee on Appropriations
United States Senate
Washington, DC 20510

The Honorable Carolyn B. Maloney
Chairwoman
Committee on Oversight and Government Reform
U.S. House of Representatives
Washington, DC 20515

The Honorable Jim Jordan
Ranking Member
Committee on Oversight and Government Reform
U.S. House of Representatives
Washington, DC 20515

The Honorable Ron Johnson
Chairman
Committee on Homeland Security and Governmental Affairs
United States Senate
Washington, DC 20510

The Honorable Gary Peters
Ranking Member
Committee on Homeland Security and Government Affairs
United States Senate
Washington, DC 20510