

CFTC OIG Investigations Closed in Calendar Year 2020

	Case No.	Date of allegation or referral	Summary of allegation	Status	Open 3/31/18	Open 9/30/18	Open 9/30/19	Open 3/31/20	Open 9/30/20	Date closed
1	17-I-12	7/11/2017	Allegation of Time and Attendance Fraud	Closed	YES	YES	YES	NO	NO	1/19/2020
2	18-I-05	2/14/2018	Joint investigation/assistance regarding alleged criminal activity by contractor unrelated to CFTC	Closed	YES	YES	YES	NO	NO	2/21/2020
3	18-I-08	5/23/2018	Alleged WB retaliation against a contractor.	Closed	NA	YES	YES	NO	NO	1/20/2020
4	18-I-09	08/29/2018	Alleged suspicious access to CFTC market data by contractor.	Closed	NA	YES	YES	NO	NO	1/29/2020
5	19-I-01	3/14/2019	Allegations regarding missing CFTC equipment.	Closed	NA	NA	YES	NO	NO	3/31/2020
6	19-I-04	4/8/2019	Allegation of potential procurement violation.	Closed	NA	NA	YES	NO	NO	3/30/2020
7	19-I-05	4/9/2019	Allegation of underpayment from a 2012 CFTC enforcement matter	Closed	NA	NA	YES	NO	NO	3/16/2020
8	19-I-06	4/10/2019	Allegation was that the CFTC's Whistleblower Office improperly appropriated whistleblower awards between whistleblowers.	Closed	NA	NA	YES	NO	NO	2/25/2020
9	19-I-07	4/16/2019	Allegation that 2014 NFA election of board of directors was noncompliant	Closed	NA	NA	YES	NO	NO	9/2/2019
10	19-I-08	5/3/2019	Allegation of potential hiring misconduct.	Closed	NA	NA	YES	NO	NO	3/30/2020
11	20-I-01	5/19/2020	Allegation of potential travel and hiring and time/attendance misconduct	Closed	NA	NA	NA	NA	YES	12/27/2020