




U.S. COMMODITY FUTURES TRADING COMMISSION

Three Lafayette Centre
1155 21st Street, NW, Washington, DC 20581
Telephone: (202) 418-5000
Facsimile: (202) 418-5521
www.cftc.gov

**Office of the
Inspector General**

MEMORANDUM

TO: Mark P. Wetjen, Acting Chairman

FROM: A. Roy Lavik, Inspector General 

DATE: February 20, 2014

SUBJECT: Audit of CFTC Compliance with the Federal Information Security Management Act of 2002 (FISMA)

Attached is the Commodity Futures Trading Commission (CFTC) Office of the Inspector General (OIG) audit report on the CFTC's compliance with FISMA¹ during FY2013. FISMA requires the CFTC to develop, document, and implement an agency-wide Information Security Program to protect its information and information systems, including those provided or managed by another agency, contractor, or source. Additionally, FISMA requires the CFTC to undergo an annual independent evaluation of its Information Security Program and practices, as well as an assessment of its compliance with FISMA requirements.

The CFTC-OIG contracted with an independent public accounting firm, Brown & Company CPAs, PLLC to conduct this audit. The OIG concurs with Brown & Company's findings in the attached audit report. The findings were discussed with the Chief Information Officer and staffs, their comments are included in the final report. Elements of this audit were included in the annual Inspector General template file submitted to the Office of Management and Budget on November 20, 2013.

Should you have any questions regarding this report, please do not hesitate to contact me.

¹ Known as Title III of the E-Government Act of 2002 (E-Gov) (Public Law [P.L.] 107-347, December 17, 2002.



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Content of the FISMA Audit report is not posted on the web due to security risk.