



U.S. COMMODITY FUTURES TRADING COMMISSION

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**Office of the
Secretariat**

Chris Kirkpatrick
Secretary of the Commission

November 22, 2016

ELECTRONIC MAIL

United States Senate
Washington, DC 20150

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, 2016 through September 30, 2016.

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, 2016 through September 30, 2016 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 was one instance of an audit report over six months old where corrective action had not been completed. Specifically, management's initial date of completion for updating logical access security policies, to be completed as part of the rollout for Personal Identity Verification (PIV) cards, was extended from March 2016 to December 2016. The OIG Semiannual Report states that, as of August 2016, 32% of CFTC employees and 22% of contractors were using PIV credentials. Management has continued to make progress in completing this corrective action, and as of November 22, 2016, 92% of CFTC employees and 69% of contractors were using PIV credentials. Management continues to estimate that this corrective action will be fully completed in December 2016.

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

Sincerely,

Chris Kirkpatrick
Secretary of the Commission

Enclosures

Recipients:

The Honorable Mike Conaway
Chairman
Committee on Agriculture
U.S. House of Representatives

The Honorable Collin C. Peterson
Ranking Member
Committee on Agriculture
U.S. House of Representatives

The Honorable Austin Scott
Chairman
Subcommittee on Commodity Exchanges, Energy and Credit
Committee on Agriculture
U.S. House of Representatives

The Honorable David Albert Scott
Ranking Member
Subcommittee on Commodity Exchanges, Energy and Credit
Committee on Agriculture
U.S. House of Representatives

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

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

The Honorable Thad Cochran
Chairman
Committee on Appropriations
United States Senate

The Honorable Barbara A. Mikulski
Ranking Member
Committee on Appropriations
United States Senate

The Honorable John Boozman
Chairman
Subcommittee on Financial Services and General Government
Committee on Appropriations
United States Senate

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

The Honorable Hal Rogers
Chairman
Committee on Appropriations
U.S. House of Representatives

The Honorable Nita M. Lowey
Ranking Member
Committee on Appropriations
U.S. House of Representatives

The Honorable Robert B. Aderholt
Chairman
Subcommittee on Agriculture, Rural Development,
Food and Drug Administration, and Related Agencies
Committee on Appropriations
U.S. House of Representatives

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The Honorable Sam Farr
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 Ron Johnson
Chairman
Committee on Homeland Security and Governmental Affairs
United States Senate

The Honorable Thomas R. Carper
Ranking Member
Committee on Homeland Security and Governmental Affairs
United States Senate

The Honorable Jason Chaffetz
Chairman
Committee on Oversight and Government Reform
U.S. House of Representatives

The Honorable Elijah E. Cummings
Ranking Member
Committee on Oversight and Government Reform
U.S. House of Representatives

Cc: Mr. Sean Donovan
Director
Office of Management and Budget