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Description of document: List of Commodity Futures Trading Commission (CFTC) Inspector General (OIG) Investigations Closed during CY2020

Requested date: 26-December-2020

Release date: 08-January-2021

Posted date: 11-October-2021

Source of document: Freedom of Information Act Request  
FOIA Compliance Office  
Commodity Futures Trading Commission  
Three Lafayette Centre  
1155 21st Street, NW  
Washington, DC 20581  
[CTFC FOIA Online Request Form](#)  
[FOIA.gov](#)

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## U.S. COMMODITY FUTURES TRADING COMMISSION

Three Lafayette Centre  
1155 21<sup>st</sup> Street, NW, Washington, DC 20581  
[www.cftc.gov](http://www.cftc.gov)

January 8, 2021

RE: 21-00043-FOIA

This is in response to your request dated December 26, 2020 under the Freedom of Information Act seeking access to: [A copy of the listing of CFTC Office of Inspector General Investigations closed during Calendar Year 2020. If this request was submitted incorrectly to your office, please refer the request to the correct office.]. In accordance with the FOIA and agency policy, we have searched our records, as of December 28, 2020, the date we received your request in our FOIA office.

We have located one page of responsive records. You are granted full access to the responsive record, which is attached.

If you have any questions about the way we handled your request, or about our FOIA regulations or procedures, please contact me at 202-418-5912, or Jonathan Van Doren, our FOIA Public Liaison, at 202-418-5505.

Additionally, you may contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA mediation services they offer. The contact information for OGIS is as follows: Office of Government Information Services, National Archives and Records Administration, Room 2510, 8601 Adelphi Road, College Park, Maryland 20740-6001, email at [ogis@nara.gov](mailto:ogis@nara.gov); telephone at 202-741-5770; toll free at 1-877-684-6448; or facsimile at 202-741-5769.

If you are not satisfied with this response to your request, you may appeal by writing to Freedom of Information Act Appeal, Office of the General Counsel, Commodity Futures Trading Commission, Three Lafayette Centre, 8th Floor, 1155 21st Street, N.W., Washington, D.C. 20581, within 90 days of the date of this letter. Please enclose a copy of your original request and a copy of this response.

Sincerely,

Rosemary Bajorek  
Attorney-Advisor



## U.S. COMMODITY FUTURES TRADING COMMISSION

Three Lafayette Centre  
1155 21<sup>st</sup> Street, NW, Washington, DC 20581  
[www.cftc.gov](http://www.cftc.gov)

January 14, 2021

RE: Supplemental Response –  
21-00043-FOIA

This is a supplemental response to your request dated December 26, 2020 under the Freedom of Information Act seeking access to: [a copy of the listing of CFTC Office of Inspector General Investigations closed during Calendar Year 2020.]. We responded to your request on January 8, 2021, but in an email to the CFTC FOIA Office (also on January 8th), you indicated that you meant to request that the “title” field (i.e., general subject matter of the investigation) be included for the responsive matters.

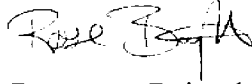
We have attached the responsive information, this time with the topics included. Please note that we discovered that one responsive matter was inadvertently left off of the last document; that one is included now. You are granted full access to the responsive information.

If you have any questions about the way we handled your request, or about our FOIA regulations or procedures, please contact me at 202-418-5912, or Jonathan Van Doren, our FOIA Public Liaison, at 202-418-5505.

Additionally, you may contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA mediation services they offer. The contact information for OGIS is as follows: Office of Government Information Services, National Archives and Records Administration, Room 2510, 8601 Adelphi Road, College Park, Maryland 20740-6001, email at [ogis@nara.gov](mailto:ogis@nara.gov); telephone at 202-741-5770; toll free at 1-877-684-6448; or facsimile at 202-741-5769.

If you are not satisfied with this response to your request, you may appeal by writing to Freedom of Information Act Appeal, Office of the General Counsel, Commodity Futures Trading Commission, Three Lafayette Centre, 8<sup>th</sup> Floor, 1155 21<sup>st</sup> Street, N.W., Washington, D.C. 20581, within 90 days of the date of this letter. Please enclose a copy of your original request and a copy of this response.

Sincerely,

A handwritten signature in black ink, appearing to read "Rose Bajorek". The signature is written in a cursive, somewhat stylized font.

Rosemary Bajorek  
Attorney-Advisor

CFTC OIG Investigations Closed in Calendar Year 2020

	<b>Case No.</b>	<b>Date of allegation or referral</b>	<b>Summary of allegation</b>	<b>Status</b>	<b>Open 3/31/18</b>	<b>Open 9/30/18</b>	<b>Open 9/30/19</b>	<b>Open 3/31/20</b>	<b>Open 9/30/20</b>	<b>Date closed</b>
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