



CFTC FOIA Office
 Three Lafayette Centre 1155 21st Street NW
 Washington, DC 20581

Report Date: 07/30/2021
Time: 8:21 AM

Requests Report
Requested between 10/01/2018 and 09/30/2019

Request ID	Received Date	Request Description	Closed Date	Final Disposition
19-00002-FOIA	10/12/2018	Requests the following materials concerning the orders of the Commodity Futures Trading Commission In the Matter of Michael D. Franko, CFTC Docket No. 18-35, and In the Matter of Victory Asset, Inc., CFTC Docket No. 18-36, Orders Instituting Proceedings Pursuant to Section 5(c) and (d) of the Commodity Exchange Act, Making Findings and Imposing Remedial Sanctions, both dated September 19, 2018 ("CFTC Orders"). (Date Range for Record Search: From 01/01/2013 To 12/31/2014)	10/08/2019	Granted/Denied in Part
19-00004-FOIA	10/12/2018	Registration documents related to Brandon Patrick Hagan for the period July 1, 2002 to the present.	06/27/2019	Granted/Denied in Part
19-00005-FOIA	10/19/2018	Requesting any reports, related documents, and conclusions related to the U.S. Commodity Futures Trading Commission's investigation of Abengoa Bioenergy Company, LLC, and related entities	08/07/2019	Denied in Full
19-00006-FOIA	10/24/2018	Please provide copies of records that directly pertain to the conduct, disclosures, and/or transactions of the registrant Gain Capital Holdings, Inc. (CIK # : 0001444363) since 01-JAN-2016. (Date Range for Record Search: From 01/01/2016 To 10/31/2018)	09/24/2019	Granted/Denied in Part
19-00007-FOIA	10/24/2018	Non-public information regarding Amaury Guilherme Bier	05/14/2019	Denied in Full
19-00008-FOIA	10/26/2018	(1) A copy of the request for trade information made by CFTC Staff on November 14, 2011 to Total Gas & Power North America. This request was made as part of the investigation of violations discussed in the December 7, 2015 Order for CFTC Docket No. 16-03 (In the Matter of Total Gas & Power North America, Inc. and Therese Tran). This request for trade information was specifically mentioned on page 5 of a Declaration made by Peter Haas, Chief Trial Attorney, on October 26, 2017 and submitted to the CFTC Whistleblower Office in the Matter of Whistleblower Award Applications for Notice of Covered Action 2016-002: Form WB-APP 2016-07-14-01 et al. We are asking only for the November 14, 2011 request itself -- not the materials submitted by Total in response. (1a) If the request is not available, we ask to receive any notes, documents, or information related to the request that might reveal what information was requested of Total on November 14, 2011. (2) We request a copy of the subpoena sent to Total on July 12, 2012 related to the same matter and investigation. This subpoena was mentioned on page 6 of Peter Haas's October 26, 2017 Declaration. (Date Range for Record Search: From 11/14/2011 To 7/12/2012)	06/04/2019	Granted in Full
19-00009-FOIA	10/30/2018	Requesting the contract market applications submitted by the Chicago Board of Trade to the Commodity	05/29/2019	Granted in Full

		Futures Trading Commission for the following: Heating Oil Futures Market (approved by the CFTC 5/18/1982) Unleaded Gasoline Futures Market (approved by the CFTC 5/25/1982)		
19-00010-FOIA	11/01/2018	Requesting information or records regarding "MIO Partners," registered with the CFTC as a commodity pool operator. (Date Range for Record Search: From 01/01/2005 To 11/01/2018)	04/30/2019	Other Reasons - Fee-related reason
19-00011-FOIA	11/01/2018	One full copy of the Commodity Exchange Act and information and/or template of a private placement memorandum.	11/05/2018	Other Reasons - No records
19-00012-FOIA	11/01/2018	All data and documents related to investigation in connection with October 11, 2018 Order Instituting Proceedings regarding Kamaldeep Gandhi, CFTC Docket No. 19-01.	12/20/2018	Denied in Full
19-00013-FOIA	11/01/2018	Referral from FBI. All information in regard to (b)(6) (b)(6)	11/16/2018	Granted/Denied in Part
19-00014-FOIA	11/08/2018	Records regarding Imaging3.	11/16/2018	Other Reasons - No records
19-00015-FOIA	11/08/2018	1) Documents associated with, or applicable to, Commodity Futures Contracts Trading of the US District Court judgments, converted to securities, as overseen by the Commission; 2) documents associated with, or applicable to, any/all US District Courts, being members of the Chicago Board Options Exchange; 3) documents associated with, or applicable to, any/all US District Courts, showing authorization to trade, and or sell their judgments, converted to securities/bonds/mortgage-backed securities.	11/16/2018	Other Reasons - No records
19-00016-FOIA	11/06/2018	Copies of any and all documents associated with CUSIP Number 315807636.	11/16/2018	Other Reasons - No records
19-00001-AP	11/06/2018	Appeal of FOIA No. 18-00078-FOIA	03/15/2019	Completely Affirmed
19-00020-FOIA	12/06/2018	Requesting copies of the public calendar for CFTC chairman J. Christopher Giancarlo from 1/21/17 through the date this request is processed, also requesting the public calendar for former CFTC chairman Timothy M Assad from 6/5/14 through 1/20/2017	08/23/2019	Granted/Denied in Part
19-00021-FOIA	11/16/2018	Request for any documents related to potential investigations of the hedge fund Element Capital Management.	05/29/2019	Other Reasons - No records
19-00022-FOIA	02/04/2019	1) Copy of the Commission's Procedures, Rules and Regulations for Tort Claims; 2) Number of tort claims received per year for the past 10 years and 10 year total; 3) Total dollar amount of tort claims received for the past 10 years; 4) Total dollar amount of tort claims paid for the past 10 years; 5) Total number of tort claims denied with no payment for the past 10 years; 6) Any and all information of complaints or disciplinary action of anyone in the Office of General Counsel and 7) State Bar Associations to which the General Counsel is admitted.	03/06/2019	Other Reasons - Fee-related reason
19-00023-FOIA	02/06/2019	Information about the Intercontinental Exchange (ICE) Bakkt Bitcoin futures product submitted to the CFTC, and the approval process to list the product. Specifically, copies of any submission forms, business plans, and product descriptions submitted to the Commission before 1/30/19. If these items are not available for release, I request and outline of the process ICE must follow to list the Bitcoin futures.	07/29/2019	Granted/Denied in Part
19-00024-FOIA	01/28/2019	1) Date the Whistleblower Program started; 2) Total operating expenses for each year the Whistleblower program operated; 3) Total revenues generated from the Whistleblower program since started.	03/06/2019	Other Reasons - Fee-related reason

19-00025-FOIA	01/28/2019	1) Date the Whistleblower Program began; 2) Laws, Regulations, Policies and USC Code that enable the Whistleblower Program; 3) Any addendums, rule changes or policy changes over the years and the dates of those changes.	03/06/2019	Other Reasons - Fee-related reason
19-00026-FOIA	01/20/2019	Any and all information (data, reports, logs and investigations) regarding (b)(6)'s Tort Form 95 complaint submissions, filed with the General Counsel.	03/06/2019	Other Reasons - Fee-related reason
19-00027-FOIA	01/14/2019	All written communications between the office of United States Senator Mitch McConnell (R- Kentucky) and the CFTC between January 1, 1985 and January 1, 1991.	06/05/2019	Granted in Full
19-00028-FOIA	01/12/2019	Copies of records documenting the number of employees of the CFTC who retired/were terminated, or left the CFTC for any reason, for the years 2015, 2016, 2017, 2018, as well as a copy of records documenting the number of new employees hired to work for the CFTC in the years 2015, 2016, 2017 and 2018.	03/21/2019	Granted in Full
19-00029-FOIA	02/05/2019	Request for any and all records in the possession of the Commission, with regard to: a) (b)(6); (b)(6); DOB: (b)(6); SSN: (b)(6); b) Securities/bonds or other transactions;; c) CUSIP Numbers; d) Excel data point records for CUSIP Numbers; e) any and all financial statements or other records, from 1/1/92-12/31/18.	02/13/2019	Other Reasons - No records
19-00030-FOIA	12/20/2018	Copy of the December 18, 2015 "As Is Customary" letter (not report) from the CFTC Office of the Inspector General to the Farm Credit Administration Office of Inspector General.	03/21/2019	Other Reasons - Public Records
19-00031-FOIA	12/21/2018	Digital/electronic copy of the final report and final presentation for each of the following studies performed under contract to CFTC: 1) Statistical Analysis of Investors Behavior George Michalidis - CFTC Contract CFOCE13CO0045; 2) Ama; usos pf A; gprotj, oc Strategies William T. Sherer - CFTC Contract CFCE11CO0234; 3) Analysis of Electronic Markets Shawn Mankad - CFTC Contract CFCE10CO0164; 4) Analysis of Commodity Markets Aaron Smith - CFTC Contract CFCE10CO0165; 5) Analysis of Algorithmic Trading Strategies Steven Analytics - CFTC Contract CFCE11CO0232; 6) Analysis of Liquidity Provisions in Electronic Markets Tugkan Tuzun - CFTC Contract CFCE10CO0175	06/05/2019	Granted in Full
19-00032-FOIA	02/08/2019	Copy of the report and presentation from the Organizational Assessment conducted for CFTC by Booz Allen Hamilton under contract CFFM10BP0096T0003.	06/19/2019	Granted in Full
19-00033-FOIA	02/13/2019	Complete file for: (b)(6)	04/18/2019	Granted in Full
19-00034-FOIA	02/12/2019	Copies of the semiannual 1-FRs filed by Sterling Commodities Corp, from 1/1/2010 to present.	07/09/2019	Other Reasons - Request withdrawn
19-00035-FOIA	02/15/2019	Does a broker have the right to cancel a retail customer's executed orders, if the orders are crossed market orders in the USA?	04/30/2019	Other Reasons - Not a proper FOIA request for some other reason
19-00036-FOIA	02/19/2019	Names and contact details, including email addresses of any/all person(s) who are involved in the decision making process for the Procurement of Telecoms and IT Hardware and Services for your organization.	05/07/2019	Granted in Full
19-00037-FOIA	02/22/2019	Any complaints or whistleblower awards issued, regarding (b)(6) (b)(6)	06/25/2019	Granted/Denied in Part - No records
19-00038-FOIA	03/01/2019	Requesting access to and copies of Commissioner travel records and budgets for fiscal year 2018, along	06/06/2019	Granted in Full

		with any travel requests that were denied due to insufficient funds.		
19-00039-FOIA	03/05/2019	All emails sent and received by any email addresses assigned to Chairman J. Christopher Giancarlo, Commissioner Brian D. Quintenz, Commissioner Rostin Behnam, Commissioner Dawn DeBerry Stump or Commissioner Dan M. Berkovitz between 12/16/2018 and the date this request is processed that include the term "shutdown". (Date Range for Record Search: From 12/16/2018 To 3/5/2019)	08/30/2019	Other Reasons - Records not reasonably described
19-00040-FOIA	02/23/2019	This request is directed to Eugene Kunda with the CFTC. I would like to obtain data on price limit days from 1994-2018 for major domestic futures markets in the following commodities: corn/soybeans/wheat-SRW/wheat-HRW/cattle/hogs/lumber.	05/08/2019	Granted in Full
19-00041-FOIA	02/26/2019	CFTC's FOIA request log, covering calendar year 2018, including a field showing the subject of each request and a field for the final disposition. I request that this document be sent in any digital format in which it exists (such as PDF and Excel).	04/18/2019	Granted in Full
19-00042-FOIA	03/04/2019	1) Official release decisions involving two CFTC contractors (b)(6) and (b)(6), believed to have been terminated in December of 2017 and August of 2018, respectively. 2) Communications regarding the reprimand decision involving (b)(6) and issues discussed in the reprimand document, between the following (b)(6) (b)(6)	06/19/2019	Granted/Denied in Part
19-00043-FOIA	01/20/2019	Information on all of (b)(6) whistleblower submissions - total number submitted, number pending and status. Additionally, the total number of all submitted whistleblower submissions and the total submissions rejected to date.	04/18/2019	Denied in Full
19-00044-FOIA	03/08/2019	Requesting historical information on all CFTC Registered Intermediaries from 2007 through October 2018. (Date Range for Record Search: From 1/1/2007 To 10/31/2018)	05/08/2019	Denied in Full
19-00045-FOIA	12/21/2018	All records relating to the meeting or briefing session, held on or about February 27, 2018 and attended by the CFTC Chairman and Chairman of the SEC, their staffs and others.	06/30/2020	Granted/Denied in Part
19-00046-FOIA	12/19/2018	Copies of any and all documents -- including but not limited to correspondence, filings, investigation memoranda, reports, studies, and surveys -- which are in the CFTC's possession, custody, or control that relate to, refer to, or concern leveraged or margin trading of Ethereum (ETH) at Payward, Inc. d/b/a Kraken on May 7, 2017. (Date Range for Record Search: From 5/7/2017 To 5/7/2017).	06/17/2019	Other Reasons - No records
19-00047-FOIA	03/08/2019	Requesting Data in Re: 9/11 speculative trades on S&P futures and options on futures/CME largest short positions snapshot on the eve of the attacks as of Sept 10, 2001 evolution/unwinding data Sept 10-19, 2001, with a disclosure, identifying actual largest short trader firms' names, such as hedge funds. (Date Range for Record Search: From 9/10/2001 To 9/19/2001)	06/03/2019	Other Reasons - No records
19-00048-FOIA	03/14/2019	Requesting all Commodity Futures Trading Commission Congressional Correspondence Logs or other records that track Congressional communications, including those maintained by component, regional or program offices, for correspondence received between January 1, 2007, and December 31, 2018. (Date Range for Record Search: From 1/1/2007 To 12/31/2018)	08/26/2019	Granted in Full
19-00049-FOIA	03/15/2019	Copies of any and all documents -- including but not limited to correspondence, filings, investigation memoranda, reports, studies, and surveys -- which are	05/14/2019	Other Reasons - Duplicate Request

		in the CFTC's possession, custody, or control that relate to, refer to, or concern leveraged or margin trading of Ethereum (ETH) at Payward, Inc. d/b/a Kraken on May 7, 2017. (Date Range for Record Search: From 5/7/2017 To 5/7/2017)		
19-00050-FOIA	03/18/2019	Requesting any email communications between the CFTC and Gain Capital Holdings, Inc.	07/02/2019	Other Reasons - Request withdrawn
19-00051-FOIA	03/21/2019	MF Global, any and all information, from the time period January 1, 2010 to present (Date Range for Record Search: From 1/1/2010 To 3/21/2019)	08/31/2020	Granted/Denied in Part
19-00052-FOIA	03/22/2019	All records relating to any meeting and/or discussion between (a) the CFTC Chairman, any CFTC Commissioner, or any staff member of the CFTC in which the substance of the CFTC's recently proposed rulemaking or release on swap execution facilities and the trade execution requirement, or the proposed rulemaking or release on post-trade name give-up on swap execution facilities was mentioned or discussed.	-	-
19-00053-FOIA	02/22/2019	List of current and former special government employees, or "SGEs," hired between January 20, 2017 and the date this request is ultimately fulfilled, along with the employee's name; hire date; agency title; office and department; hiring authority; government pay scale; step and salary, and separation date, if applicable.	06/07/2019	Granted in Full
19-00054-FOIA	03/28/2019	Requesting any trading, contract, or any information pertaining to the Title (b)(6) and any variations of this Corporate entity. SID # (b)(6) /PID# (b)(6) ID # (b)(6); DOC# (b)(6); CLB# (b)(6) (b)(6) SS TRUST (b)(6)	06/13/2019	Other Reasons - No records
19-00055-FOIA	03/28/2019	All communications (emails and text messages) between CFTC Director of Legislative Affairs Charles Thornton and anyone at the law firm of Katten Muchin Rosenman LLP or trabue.bland@theice.com or kelly.loeffler@bakkt.com, from January 1, 2018 to the present day. (Date Range for Record Search: From 1/1/2018 To 3/28/2019)	08/06/2019	Granted/Denied in Part
19-00056-FOIA	03/25/2019	Any information on "Don Howard." Was he a commodities trader in downtown Chicago? If so, when? Who did he work for? How many years was he a commodities trader?	04/18/2019	Other Reasons - Public Records
19-00057-FOIA	04/18/2019	Requesting copies of all documents, including any relevant memos and emails, created for or relating to the discipline of Bunnvale Trading by the New York Mercantile Exchange on July 28, 2014 (Date Range for Record Search: From 7/28/2014 To 7/28/2014)	06/03/2019	Other Reasons - No records
19-00058-FOIA	04/19/2019	Requesting that the CFTC produce an electronic copy (e.g. pdfs on a CD-ROM or via email) of all contracts between any division of the Commodity Futures Trading Commission and BlackRock Inc., (2) contracts for use of the risk-management software Aladdin, including contracts with entities believed to be subsidiaries or licensees of Aladdin, (3) All "requests for proposal" or any other form of solicitation to prospective vendors issued by the CFTC that relate to "risk analytics," "comprehensive portfolio management," or any phrases used as synonyms for either of those terms (Date Range for Record Search: From 1/1/2007 To 4/19/2019)	08/07/2019	Other Reasons - No records
19-00001-CONS	02/27/2019	Consultation with Department of Agriculture, regarding a FOIA request received by their agency.	04/26/2019	Granted/Denied in Part
19-00059-FOIA	04/29/2019	Requesting information pursuant to Communications between: CFTC Enforcement Director James McDonald, Deputy Enforcement Director Joan Manley, or other senior CFTC Enforcement Staff or staff of the Office of	07/25/2019	Denied in Full

		General Counsel and the U.S. Department of Justice, including but not limited to: the DOJ's Office of General Counsel, senior officials in the DOJ's Criminal Division, Civil Division, Office of Legal Counsel, and Office of Legal Policy, regarding agency policy announced March 6, 2019 to pursue violations of the Commodities Exchange Act that involve foreign corrupt practices. The relevant time period is from Oct. 1, 2018 to the present (Date Range for Record Search: From 10/1/2018 To 4/29/2019)		
19-00060-FOIA	04/30/2019	Copy of BPA CFIT08BP0119 and all associated calls (Task Orders)	07/25/2019	Granted/Denied in Part
19-00001-REF	05/01/2019	A copy of the GHG (Greenhouse Gas) Inventory Qualitative Statements for FY 2017 for each agency that submitted them to the Council on Environmental Quality.	05/07/2019	Granted in Full
19-00061-FOIA	05/03/2019	Requesting a transcript of the TAC meeting on June 20, 2012 (Date Range for Record Search: From 6/20/2012 To 6/20/2012)	06/03/2019	Other Reasons - No records
19-00062-FOIA	05/03/2019	DCUR DATABASE re: Eugene Kunda	06/04/2019	Other Reasons - Public Records
19-00063-FOIA	05/07/2019	Current speculative position trading limits for corn, soybeans and wheat or where the rules can be found or located	05/14/2019	Other Reasons - Public Records
19-00064-FOIA	05/08/2019	Requesting all records, files, emails, notes, reports, schedules, statements, and documentation in CFTC possession. Also requesting any up-to-date phone numbers, Emails or addresses starting from January 2018 until April 2019 on the following individuals: Charity Buck, Yansensia Toiedo, Mercedes Rodriguez, Gabriela Mendoza Martinez, Leslie McCray, Emily Davis, Marina Galvez, Maria Warnell, Brenda Aguilar, Haley Kaitlyn Kennedy and Janexis Torres. (Date Range for Record Search: From 1/1/2018 To 4/30/2019)	06/05/2019	Other Reasons - Records not reasonably described
19-00065-FOIA	05/09/2019	Requesting copies of all written communications by which staff of the Commodity Futures Trading Commission (CFTC) shared non-public drafts of CFTC rulemakings with external parties including partners and employees of law firms from the time period between January 1, 2010 and January 1, 2019. In addition to providing the communications, please provide all non-public draft releases that were attached to or otherwise enclosed with the communication. (Date Range for Record Search: From 1/1/2010 To 1/1/2019)	07/12/2019	Other Reasons - No records
19-00066-FOIA	05/14/2019	Data in re Historical deliverable stocks and deliverable commodities under registration (DCUR) for agricultural commodities for however many days and years the data is available for.	06/04/2019	Other Reasons - Request withdrawn
19-00067-FOIA	05/14/2019	I would like any and all information in connection to me. My name is (b)(6) social security number is (b)(6) mailing address is (b)(6). My date of Birth is (b)(6). My physical address is (b)(6)	06/05/2019	Other Reasons - Records not reasonably described
19-00068-FOIA	05/14/2019	Requesting copies of all correspondence between Stephen K. Moore and any of the following Commodity Futures Trading Commissions officials between and including January 20, 2017 and the date this request is processed: •Brian D. Quintenz, Commissioner •Rostin Behnam, Commissioner, •Dawn DeBerry Stump, Commissioner, •Dan M. Berkovitz, Commissioner, and •Bruce Tuckman, Chief Economist (Date Range for Record Search: From 1/20/2017 To 5/14/2019)	08/19/2019	Other Reasons - No records
19-00069-FOIA	05/15/2019	Requesting documents and information regarding the following individuals and entities: (1) Gaylen Dean Rust, (2) Rust Rare Coin Inc., (3) Denise Gunderson	08/19/2019	Denied in Full

		Rust, and (4) Joshua Daniel Rust (together, the "Subject Parties"). Specifically, I request copies of the records of any investigations and/or enforcement proceedings that directly pertain to the Subject Parties or each of their conduct, disclosures, and/or transactions.		
19-00070-FOIA	05/15/2019	Requesting the records regarding all background information on all registered traders available at the BASIC database from the National Futures Association ("NFA"). Any information of legal nature (civil actions, criminal proceedings etc.). I'm interested in all educational information currently unavailable at the online BASIC database. These would include examinations taken, scores in these examinations, education level, and any demographic characteristic available.	06/10/2019	Other Reasons - Request withdrawn
19-00071-FOIA	06/06/2019	All information from CFTC about the client losses from the OptionSellers failure	07/31/2019	Denied in Full
19-00072-FOIA	06/06/2019	Any and all Documents relating to any CFTC action involving William H. Powderly, IV , including but not limited to the action currently pending in the USDC for the Northern District of Illinois, DOCKET # 1:17-cv-03262 United States, Commodity Futures Trading Commission v. William H. Powderly, IV. Please include any other CFTC matters involving William H. Powderly, IV.	07/31/2019	Other Reasons - Request withdrawn
19-00073-FOIA	06/06/2019	In regard to the lawsuit U.S. Commodity Futures Trading Commission v. Larry Benny Groover and Joanne Groover (4:11-CV-00064-RAS-DDB): All documents including or referencing communications to the defrauded investors (b)(6) Communications between the US CFTC attorneys/representatives and the investors mentioned above, including pre-suit communications. Time frame: 1/1/2010 to 1/1/2013 . I want to make sure that the communications that will be provided in your response include (Date Range for Record Search: From 1/1/2010 To 1/1/2013)	07/15/2019	Granted/Denied in Part
19-00074-FOIA	06/06/2019	I had previously submitted a FOIA request for John Arnold's deposition. I have additional information to narrow the scope of the search. I am seeking the deposition of John Arnold, in the matter of Enron Corp. Ref. No. 4916, August 19, 2002. (Date Range for Record Search: From 8/19/2002 To 8/19/2002)	06/12/2019	Other Reasons - No records
19-00075-FOIA	06/07/2019	ANY/ALL CFTC WHISTLEBLOWER FILINGS 2008-2019 (Date Range for Record Search: From 1/1/2008 To 6/30/2019)	06/13/2019	Denied in Full
19-00076-FOIA	06/07/2019	I would like to receive information on any and all securities sold in association with my name, (b)(6) (b)(6), and social security number, from 1979 to 2019. (Date Range for Record Search: From 1/1/1979 To 6/7/2019)	06/12/2019	Other Reasons - Not an agency record
19-00077-FOIA	06/07/2019	Requesting all of the decisions made under the reparations program of the CFTC from the year 2000 through the year 2018 (Date Range for Record Search: From 1/1/2000 To 12/31/2018)	07/16/2019	Granted in Full
19-00078-FOIA	06/07/2019	Requesting a copy of each letter: (1) Letter from Ellen Marks on behalf of Fannie Mae and Freddie Mac, at 2 (Jul. 29, 2013) ("Relief Request"); • (2) Letter from Ellen Marks on behalf of Fannie Mae and Freddie Mac, at 1 (Nov. 20, 2013) ("Supplemental Statement"). These two letters were referenced in the CFTC Letter No. 14-111. (Date Range for Record Search: From 7/29/2013 To 11/20/2013)	09/23/2019	Granted in Full
19-00079-FOIA	06/13/2019	1) Deposition transcripts with exhibits of Ryan A. Nassbridges and Bitia J. Nassbridges taken Re: In the Matter of American Bullion Exchange, et al., on or	09/12/2019	Granted/Denied in Part

		about June 10 and June 11, 2009; 2) the deposition transcript with exhibits of Ryan A. Nassbridges taken on or about March 12, 2014, in U.S. Commodity Futures Trading Commission v. American Bullion Exchange Abex, Corp., et al. USDC, Central District of California Case No. SACV10-1876 DOC (RNBx); and 3) any other transcripts of deposition with exhibits of Ryan Nassbridges or Bita Nassbridges taken Re: In the Matter of American Bullion Exchange, et al. or in U.S. Commodity Futures Trading Commission v. American Bullion Exchange Abex, Corp., et al. (Date Range for Record Search: From 6/10/2009 To 3/12/2014)		
19-00080-FOIA	06/19/2019	Requesting Records, Files, Emails, Social Medias Notes, Reports, and phone numbers. Anything from April 1, 2015 to April 1, 2019 in re to the listed names associated with 19-00064 FOIA. (Date Range for Record Search: From 4/1/2015 To 4/1/2019)	06/19/2019	Other Reasons - Records not reasonably described
19-00081-FOIA	06/19/2019	Emails *sent* by Nancy R. Doyle since May 1, 2019 that mention the Democracy Summer Leadership PAC (Date Range for Record Search: From 5/1/2019 To 6/19/2019)	06/19/2019	Other Reasons - No records
19-00082-FOIA	06/21/2019	Requesting Appendicies 1 to 34 of the Inspector General's Report on Stress Testing	10/29/2019	Granted/Denied in Part
19-00083-FOIA	06/21/2019	Requesting all records related to Libra, the new Facebook subsidiary called Calibra, and Libra Association, the nonprofit created independent of Facebook to oversee operations of Libra, created on or after January 1, 2017, including but not limited to: 1. Communications between any representative of the U.S. Commodity Futures Trading Commission, and any representative of Facebook referencing Facebook's Libra cryptocurrency project. 2. Any internal communications at the U.S. Commodity Futures Trading Commission, reflecting comments or concerns over Facebook's Libra cryptocurrency project. 3. Materials that describe Facebook's plan for Libra in possession by the U.S. Commodity Futures Trading Commission, including e-mails, handouts, PowerPoint presentations, advertisements, or specification documents. 4. Any records referencing the anticipated date of launch for Facebook's Libra cryptocurrency. 5. Records, announcements, summaries, or written minutes of meetings or sessions discussing Facebook's Libra cryptocurrency. 6. Any records reflecting research, studies, news articles, or other data regarding how Facebook's Libra cryptocurrency might affect the US financial market and/or the global financial market.	09/27/2019	Granted/Denied in Part
19-00084-FOIA	06/27/2019	Requesting the decisions of FINRA from the period 2008 to the current time (Date Range for Record Search: From 1/1/2008 To 6/27/2019)	06/27/2019	Other Reasons - No records
19-00085-FOIA	06/27/2019	Requesting the following records: All invoices, purchases orders, contracts, loan agreements, procurement documents (but not limited to solicitation documents or notices of proposed contracts, proposed bids, unsolicited proposals, and/or documents justifying contracting without full and open competition) relating to the following specific procurement identifiers: - 9523ZY18P0224 - 9523ZY18P0236 - 9523ZY18P0224 - 9523ZY18P0224 - 9523ZY18PENF0089 - 9523ZY18PENF0089	08/29/2019	Granted/Denied in Part
19-00086-FOIA	07/02/2019	Any investigative records that include the full name "Eduardo Rosenstein Silva" for the years 2010 - present. (Date Range for Record Search: From 1/1/2010 To 7/2/2019)	08/07/2019	Denied in Full
19-00087-FOIA	07/02/2019	Requesting all files regarding decisions of the National Futures Industry Authority from January 1, 2000 to	07/08/2019	Other Reasons - No records

		June 1, 2019. (Date Range for Record Search: From 1/1/2000 To 6/1/2019)		
19-00088-FOIA	07/03/2019	Requesting all information and records of contact (including email, regular mail, telephone, fax) and records of notes, discussions, analyses, materials submitted, filings, financials, meetings and investigations regarding PredictIt Inc. and Victoria University in New Zealand and Aristotle International in Washington, DC between the dates of July 1, 2014 and June 30, 2019. (Date Range for Record Search: From 7/1/2014 To 6/30/2019)	12/16/2019	Granted/Denied in Part
19-00089-FOIA	07/08/2019	I am seeking E-mini S&P order book data of manipulative trading activity of Nav Sarao Futures Limited PLC (Sarao Futures) and Navinder Singh Sarao (Sarao) during the Relevant Period from From at least April 2010 to January 2012; July 2012 to June 2014; and September 2014 to April 17, 2015. (Date Range for Record Search: From 4/1/2010 To 4/17/2015)	08/28/2019	Other Reasons - No records
19-00090-FOIA	07/08/2019	I am seeking for order book data, if available, on the manipulative trading activity of Jiongsheng Zhao in E-mini S&P 500 Index futures market during the Relevant Period from July 2012 to March 2017. (Date Range for Record Search: From 7/1/2012 To 3/31/2017)	08/28/2019	Other Reasons - No records
19-00091-FOIA	07/11/2019	(1) A copy of any comments Commissioner Berkovitz delivered at the Seminar; (2) A copy of the list of Seminar attendees (including their employers) that Commissioner Berkovitz received prior to attending the Seminar; (3) A copy of the invitation Commissioner Berkovitz received to attend the Seminar, and all of his communications with S&C regarding his attendance (including , if any of the communications were telephonic, a copy of the phone records identifying the number called and the duration of the call); and (4) Copies of communications between Commissioner Berkovitz and S&C lawyers, S&C clients and other business representatives he met at the Seminar or subsequent to the Seminar (including, if any of the communications were telephonic, a copy of the phone records identifying the number called and the duration of the call). (Date Range for Record Search: From 6/5/2019 To 6/5/2019)	08/29/2019	Granted/Denied in Part
19-00092-FOIA	07/10/2019	Regulatory disclosure documents for Anne Carolyn Dinning, Edward Laurence Fishman, David Elliot Shaw and Maximilian Dana Stone.	07/23/2019	Granted/Denied in Part
19-00093-FOIA	07/12/2019	Requesting documents regarding the CFTC's investigation, prosecution and settlement of charges against Forex Capital Markets LLC, as described in the CFTC's press release number 6119-11, dated October 3, 2011, and the Order issued in the case In re Forex Capital Markets LLC, CFTC Docket Number 12-01. (Date Range for Record Search: From 10/3/2011 To 10/3/2011)	08/20/2019	Granted/Denied in Part
19-00002-CONS	07/19/2019	Consultation from SEC - White House emails with SEC and CFTC Staff.	07/19/2019	Granted in Full
19-00094-FOIA	07/26/2019	I hereby request records or portions thereof pertaining to precious metals, coins, oil, agriculture, annuities, real estate, technology, utilities, natural resources, diversified emerging markets, world bond, world stocks, tabacco & etc., any application requisites.	07/29/2019	Other Reasons - Not a proper FOIA request for some other reason
19-00095-FOIA	07/26/2019	Please provide me with the amount of investor losses from the collapse of OptionSellers in the second week of November, 2018 and the subsequent efforts of INT IFstone to hold innocent investors accountable. INT FCStone was the clearing firm for all the trades of OptionSellers.	07/31/2019	Denied in Full
19-00096-FOIA	07/30/2019		08/28/2019	

		All emails sent to, from, or copied to: J. Christopher Giancarlo, from January 1, 2016 to Present Day containing any of the following non-case-sensitive key-string "Norberg", or "money laundering". You may exclude emails that may be classified as newsletters, junk, or spam. After conducting a search to determine how many email records exist, if these records are too cumbersome to go through, please let me know the total number of records for the time period requested and I may desire to modify my request to limit the keywords or timeframe. In the event of fees, inform me of the total charges in advance of fulfilling my request. (Date Range for Record Search: From 1/1/2016 To 7/30/2019)		Granted/Denied in Part
19-00097-FOIA	07/31/2019	All records memorializing the creation of the Climate-Related Market Risk Subcommittee (Subcommittee) under the CFTC's Market Risk Advisory Committee (MRAC). Establishment of the Climate-Related Market Risk Subcommittee was announced July 10, in a public statement your agency issued. I prefer to receive documents, records or any filings from this request in an electronic format.	08/22/2019	Granted/Denied in Part
19-00098-FOIA	08/01/2019	Copies of the most recent BRs for Philippe Pierre Remy and Ludovic Zezima, and the most recent 7R for Lyxor Asset Management SAS.	08/07/2019	Granted in Full
19-00099-FOIA	08/01/2019	Seeking information on the order book data of manipulative trading activities of Igor B.Oystacher and 3 Red Trading LLC between December 2011 and January 2014. (Date Range for Record Search: From 12/1/2011 To 1/31/2014)	08/29/2019	Other Reasons - No records
19-00003-CONS	08/05/2019	Referral from SEC	08/06/2019	Granted in Full
19-00100-FOIA	08/07/2019	Requesting records related to a matter handled by DOE Attorney Thomas J. (Todd) Kelly in re to, "In the Matter of: Certain Persons Engaged in Unlawful Retail Commodity Transactions." Please send any and all records dated from January 1, 2013, to the present, related to: 1. Quantum Refiners, LLC. 2. (b)(6) (b)(6) (SSN: (b)(6)) 3. (b)(6) (SSN: (b)(6)) 4. GRR I, LLC 5. American Gold River Corporation 6. Agave Metal Trading, LLC 7. American Metallurgy de Mexico. (Date Range for Record Search: From 1/1/2013 To 8/7/2019)	09/04/2019	Other Reasons - Fee-related reason
19-00102-FOIA	08/07/2019	Requesting Exhibits and applications from: Eris Exchange, LLC [Designated as of 10/28/2011] Exhibit E, Exhibit F, Exhibit K, Exhibit N, Exhibit O, Exhibit P, Exhibit Q, Exhibit S, Exhibit T, Exhibit V; Cantor Futures Exchange, L.P. [Designated as of 4/20/2010] Exhibit E, Exhibit F, Exhibit K, Exhibit N, Exhibit O, Exhibit P, Exhibit Q, Exhibit S, Exhibit T, Exhibit V; and Eris Exchange, LLC - Full derivatives clearing organization (DCO) application. On August 8, 2019, the requester clarified that she was seeking the DCM application and specified exhibits for Eris Exchange and Cantor Futures Exchange, as well as the complete DCO application for Eris Exchange.	09/12/2019	Denied in Full
19-00103-FOIA	08/07/2019	Seeking data via a FOIA request to gain access to traded prices of S&P 500 and S&P 500 e-mini futures contracts, which to my knowledge are maintained by the CFTC. The data I am seeking under this FOIA request includes the traded price and volume for each individual futures contract traded by day for years 1996 to 2018. (Date Range for Record Search: From 8/1/1996 To 1/31/2018)	08/15/2019	Denied in Full
19-00104-FOIA	08/08/2019	Requesting information or records regarding a complaint filed by LedgerX LLC with the CFTC Office of the Inspector General alleging interference from the Commission with LedgerX's request for an amendment	09/12/2019	Granted/Denied in Part

		to its Derivatives Clearing Organization (DCO) registration, allowing for it to offer futures contracts to its clients.		
19-00105-FOIA	08/09/2019	Requesting an electronic copy (e.g. pdfs on a CD-ROM or via email) of Mr. Daniel Gorfine's calendar for the time period of July 1, 2017 through the present day, covering his full tenure as Director of LabCFTC and Chief Innovation Officer of the Commodity Futures Trading Commission thus far. (Date Range for Record Search: From 7/1/2017 To 8/9/2019)	09/30/2019	Granted/Denied in Part
19-00106-FOIA	08/09/2019	Requesting Information related to chat transcriptions from a Bloomberg Chat Room	08/23/2019	Denied in Full
19-00107-FOIA	08/12/2019	-The Annual budgets for the CFTC Whistleblower Office since 2000. -Any minutes of meetings in which the CFTC Whistleblower Office budget was discussed since 2000. -The annual number of staff, description of position, salary, and pay-rank of all staff within the CFTC Whistleblower office since 2000. (Date Range for Record Search: From 1/1/2000 To 8/12/2019)	09/11/2019	Granted in Full
19-00108-FOIA	08/13/2019	Under the Freedom of Information Act (5 U.S.C. § 552), I request that a copy of any and all of the following documents related to, in whole or in part, or concerning in any way, from January 1, 2014, through the present, be provided to me: (i) the anti-money laundering and/or Bank Secrecy Act practices, policies and procedures of Interactive Brokers LLC (IBKR) and (ii) any such documents relating to any investigation, penalty, finding, assessment, order or other action relating to (i). (Date Range for Record Search: From 1/1/2014 To 8/13/2019)	09/09/2019	Denied in Full
19-00109-FOIA	08/13/2019	I am requesting the enforcement letters, such as no-action letters or other official notices, whether sent to individual companies or persons or broad-based publications, the CFTC has issued in the year 2019 concerning cryptocurrency-related futures under its jurisdiction. Given public interest in the topic of cryptocurrency regulation, recent actions taken by the CFTC in relation to official notices and guidance to cryptocurrency-related futures and companies is of major and worthwhile examination to the general investor and business population. (Date Range for Record Search: From 1/1/2019 To 8/13/2019)	08/14/2019	Other Reasons - Public Records
19-00110-FOIA	08/14/2019	Two copies of the "Notarized statement form" as referenced in 17 DFR § 146.4 (a) (3) (6), and two copies of 17 CFR 249.1800 form.	08/14/2019	Granted in Full
19-00004-CONS	08/22/2019	Received FOIA request from Curtis Clayton of the Center for Biological Diversity which yielded 217 pages of responsive documents of which, 2 pages originated from your office. Would you please review them and return with redactions or let us know if it should be released in full?	08/23/2019	Granted in Full
19-00111-FOIA	08/22/2019	In the NFA 8 R of Robert Furdak (NFA ID: 0303957), there is a disclosure related to Regulatory disclosure. Namely, there was a positive answer to the below question: E. In any case brought by a domestic or foreign governmental body (other than the CFTC), (1) have you personally Or (2) has any entity of which you were a principal (based on activities hat occurred while you were a principal) ever been found after a hearing or default or as the result of a settlement, consent decree or other agreement, to: -Have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property or -Have willfully aided, abetted, counselled, commanded, induced or procured	08/23/2019	Granted in Full

		such violation by any other person? Moreover in the Annual Registration update for Numeric Investors LLC (NFA ID 0382141) there is a disclosure related to Regulatory disclosure. Namely, there was a positive answer to the below question: E. In any case brought by a domestic or foreign governmental body (other than the CFTC), has the firm or sole proprietor ever been found after a hearing or default or as the result of settlement, consent decree or other agreement to: -Have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property or -Have willfully aided, abetted, counselled, commanded, induced or procured such violation by any other person?		
19-00112-FOIA	08/23/2019	The 28 May 2019 7-R Form of JP Morgan Alternative Asset Mgmt Inc (NFA ID: 0229386) contains a "Yes" answer for a Regulatory Disclosure.	08/23/2019	Granted in Full
19-00005-CONS	08/28/2019	Emails regarding press release input	08/28/2019	Granted in Full
19-00113-FOIA	08/28/2019	Requesting a digital or electronic copy of documents containing every employee of the Commodity Futures Trading Commission currently detailed to the United States Senate. Specifically, please provide the first and last name, title, and office for each employee who is detailed to the United States Senate for the first and second sessions of the 116th Congress.	08/29/2019	Granted in Full
19-00114-FOIA	08/28/2019	All emails and other written communications sent between FC Stone and the Division of Enforcement, or between FC Stone and a CFTC Commissioner, discussing FC Stone's responsibility for investor losses. Time from is May 29, 2013, to December 2018. (Date Range for Record Search: From 5/29/2013 To 12/31/2018)	11/20/2019	Denied in Full
19-00115-FOIA	08/29/2019	Requesting access to and copies of records concerning the bank examination and supervision process. Specifically, requesting all reports, memorandums, briefings, and other documents created or updated since July 15, 2019 that includes information on the bank examination process or the bank supervision process. NARROWED SCOPE: All reports, memorandums, briefings, and other documents that contain the key phrase "bank examination" created or updated since July 15, 2019 held by: Brian D. Quintenz, Commissioner; Rostin Behnam, Commissioner; Dawn DeBerry Stump, Commissioner; Dan M. Berkovitz, Commissioner; Bruce Tuckman, Chief Economist. (Date Range for Record Search: From 7/15/2019 To 7/15/2019)	09/23/2019	Granted in Full
19-00116-FOIA	08/29/2019	Requests access to and copies of all e-mails sent to, sent by, or carbon copying ("CC") the following CFTC personnel: • Brian D. Quintenz, Commissioner • Rostin Behnam, Commissioner • Dawn DeBerry Stump, Commissioner • Dan M. Berkovitz, Commissioner • Bruce Tuckman, Chief Economist. Request all communications sent by, sent to, or CC'ing the listed CFTC personnel between and including July 15, 2019 and the date this request is processed, which were sent by, sent to, or CC'd representatives of any of the following organizations, as evidenced by their e-mail addresses or the inclusion of one of these entity names in their e-mail signatures: • The Bank Policy Institute (@bpi.com) • The Securities Industry and Financial Markets Associations (@sifma.org). Additionally, request all communications sent by, sent to, or CC'ing individuals from the previously listed organizations,	09/23/2019	Granted/Denied in Part

		which contain any of the following keywords or phrases: • "fiduciary" • "bank examination" • "bank supervision" (Date Range for Record Search: From 7/15/2019 To 8/29/2019)		
19-00101-FOIA	09/09/2019	Memorandums, notes, minutes of meetings, reports or correspondence whether typed or handwritten, video or audio, concerning CME COMEX gold and/or silver futures margin adjustments proposed or completed, dated from November 1, 2010 to September 30, 2011. (Date Range for Record Search: From 11/1/2010 To 9/30/2011)	09/17/2019	Other Reasons - No records
19-00117-FOIA	09/09/2019	Letters sent to the CFTC by the SIFMA AMG, FIA and the CME, detailed in CFTC Letter No. 19-17. It states the below in footnote 4: The FIA, SIFMA-AMG, and CME each filed separate letters (collectively, the "Industry Letters") to Commission Staff. See SIFMA-AMG Letter dated June 7, 2019 to Brian A. Bussey and Matthew B. Kulkin; CME letter dated June 14, 2019 to Brian A. Bussey and Matthew B. Kulkin; and FIA letter dated June 26, 2019 to Brian A. Bussey and Matthew B. Kulkin. (Date Range for Record Search: From 6/14/2019 To 6/26/2019)	01/16/2020	Granted in Full
19-00118-FOIA	09/09/2019	I need to pull up data on two options trades -one under Russell 2000 and another Commodities related trade both traded on the CBOT in 13/14 fiscal years. I cannot access information on these two trades without the name of my intermediary broker that I do not have. Please help me pull up the information on the trades and mail the trade ticket to my home in (b)(6)	09/11/2019	Other Reasons - Not an agency record
19-00119-FOIA	09/09/2019	1) On which dates in which securities and which markets did CFTC allege manipulation by Igor B.Oystacher and 3 Red Trading to have occurred? (This is not a request for order book data, nor is it a request for the specific trading of Igor B.Oystacher and 3 Red Trading, merely a request about the allegations made by the CFTC, whether proven or otherwise). 2) To the extent that (1) above can be disclosed in full or in part, at what times (timestamps) was the manipulation alleged to have occurred in each of the securities and dates?	09/09/2019	Other Reasons - Not a proper FOIA request for some other reason
19-00120-FOIA	09/10/2019	Requiring list of the registered Major swap participants as of today. I had the understanding that swap dealers, MSP, and other intermediaries ruled by the Dodd Frank act and the CFTC had to be registered in the NFA. I appreciate if you can confirm this, and provide me the web page or the information of the MSP participants registered so far.	09/11/2019	Other Reasons - No records
19-00121-FOIA	09/11/2019	In re U.S. District Court for the N.D. Ill., Eastern Div., Case No. 15-cv-09196 (CFTC v. Igor B.Oystacher and 3 Red Trading LLC), On November 9, 2015, Plaintiff filed a Motion for Preliminary Injunction (Dkt. #20). The Court conducted a nine-day preliminary injunction hearing on April 8, 25- 29, May 4, 6 and May 12, 2016. At the contested hearing, Plaintiff introduced evidence that supported the allegations of the Complaint, that the Defendants violated the Act while trading". Requesting records of the allegation made by CFTC or records of evidence that supported the allegations of the Complaints, whether proven or otherwise, relating to the manipulative trading activities of Igor B.Oystacher and 3 Red Trading in commodity futures market between December 2011 and January 2014. (Date Range for Record Search: From 12/1/2011 To 1/31/2014)	09/11/2019	Other Reasons - Public Records
19-00122-FOIA	09/11/2019	Requesting the following records: All emails sent to, from, or copied to: J. Christopher Giancarlo, from	09/23/2019	Granted/Denied in Part

		January 1, 2016 to Present Day containing any of the following non-case-sensitive key-string "whistleblower 11", "laundering" or "prosecution". After conducting a search to determine how many email records exist, if these records are too cumbersome to go through, please let me know the total number of records for the time period requested and I may desire to modify my request to limit the keywords or timeframe. (Date Range for Record Search: From 1/1/2015 To 9/11/2019)		
19-00123-FOIA	09/12/2019	Request relates to CFTC Letter No. 19-17, dated July 10, 2019 ("Advisory and Time-Limited No-Action Relief with Respect to the Treatment of Separate Accounts by Futures Commission Merchants"). Footnote four on page 1 references three "Industry Letters" to Commission Staff: (1) SIFMA-AMG Letter dated June 7, 2019 to Brian A. Bussey and Matthew B. Kulkin; (2) CME letter dated June 14, 2019 to Brian A. Bussey and Matthew B. Kulkin; (3) FIA letter dated June 26, 2019 to Brian A. Bussey and Matthew B. Kulkin. We would like copies of these three letters. (Date Range for Record Search: From 6/7/2019 To 6/26/2019)	01/16/2020	Granted in Full
19-00124-FOIA	09/12/2019	Requesting documents including, but not limited to, correspondence, internal memoranda, external conversations with the SEC, etc., from the time period between January 1, 2011 and December 31, 2013, regarding Securities & Exchange Commission proposed and finalized Rule 506, implementing Section 926 of the Dodd-Frank Act, discussing the "bad actor" disqualification provisions and waivers. (Date Range for Record Search: From 1/1/2011 To 12/31/2013)	09/17/2019	Other Reasons - No records
19-00125-FOIA	09/13/2019	I am requesting my own personal leave records from September 1, 2018, to June 7, 2019. I specifically need the bi-weekly time and attendance records that show my work hours (base, telework, sick, annual, etc.) I also need copies of my sick leave requests. (Date Range for Record Search: From 9/1/2018 To 6/7/2019)	09/17/2019	Granted in Full
19-00126-FOIA	09/13/2019	I am requesting for any analysis (including calculations, plots, statistical measures, or exhibits) created by CFTC or for CFTC by the affected market participants in their complaints sent to CFTC, relating to the manipulative trading activities of Igor B.Oystacher and 3 Red Trading in futures market between December 2011 and January 2014. (Date Range for Record Search: From 12/1/2011 To 1/31/2014)	11/05/2019	Denied in Full
19-00002-AP	09/12/2019	Appeal of Freedom of Information Act requests 19-00017, 19-00019, 19-00065 and 19-00091, regarding the published CFTC FAQ on how notional amounts related to swaps positions should be calculated for purposes of applying rules written pursuant to Title VII of the Dodd-Frank Act.	09/25/2019	Completely Affirmed
19-00127-FOIA	09/17/2019	Requesting the following information/data: 1. What percentage of CFTC employees are eligible to retire, as of the end of last year (Dec. 2018)? 2. What percentage of CFTC employees will be eligible to retire by the end of 2023? 3. Once CFTC employees reach eligibility for retirement, how many more years do they remain at the agency, on average? 4. How many total employees does the CFTC have, as of the end of 2018? 5. What is the typical annual attrition rate among CFTC employees? 6. How is eligibility for retirement determined at the CFTC? If breakdowns by CFTC division and/or seniority level are available for #1 through #5, I would also like to get those.	09/30/2019	Granted in Full
19-00128-FOIA	09/17/2019	Request for records: 1) All communications—including but not limited to letters, faxes, and emails, including	12/17/2019	Granted/Denied in Part

		all attachments to emails that discuss, describe, reference, or otherwise refer to (a) Facebook's Libra cryptocurrency project, (b) the Calibra digital wallet or (c) the Libra Association. This request is limited to records created or received since January 1, 2019. 2) All records concerning meetings—whether in-person, telephonic, video conferencing, or through other means— that discuss, describe, reference, or otherwise refer to (a) Facebook's Libra cryptocurrency project, (b) the Calibra digital wallet or (c) the Libra Association. This request is limited to records created or received since January 1, 2019. If it is your position that responsive records exist but that those records (or portions of those records) are exempt from disclosure, please identify the records that are being withheld and state the basis for the denial for each record being withheld. In addition, please provide the nonexempt portions of the records. Public Citizen seeks each document containing responsive records in its entirety. (Date Range for Record Search: From 1/1/2019 To 1/1/2019)		
19-00129-FOIA	09/18/2019	7-R for Lighthouse Investment Partners LLC; NFA ID: 0406075	09/23/2019	Granted/Denied in Part
19-00130-FOIA	09/20/2019	I hereby request under the Freedom of Information Act and 17 C.F. R. Part 145 the following records: (1) A copy of any comments Commissioner Berkovitz or Mr. McDonald delivered at the Seminar; (2) A copy of any list of Seminar attendees (including their employers) that Commissioner Berkovitz or Mr. McDonald received prior to attending the Seminar; (3) A copy of any invitations Commissioner Berkovitz or Mr. McDonald received to attend the Seminar and any communications either individual had with S&C regarding his attendance (including, if any of the communications were telephonic, a copy of the phone records identifying the number called and the duration of the call); and (4) Copies of communications between Commissioner Berkovitz or Mr. McDonald and S&C lawyers, S&C clients and other business representatives he met at the Seminar or subsequent to the Seminar (including if any of the communications were telephonic, a copy of the phone records identifying the number called and the duration of the call).	09/30/2019	Granted in Full
19-00131-FOIA	09/23/2019	US Court of Appeals for the Seventh Circuit, sealed case number 19-276. I am requesting the agency transmit any and all: 1) notice of appeal; 2) petition or opening brief; 3) any other filing in the aforementioned 7th Circuit case. The request includes but is not limited to any filing between Aug. 1, 2019, and Sept. 20, 2019. (Date Range for Record Search: From 8/1/2019 To 9/20/2019)	09/23/2019	Denied in Full
19-00132-FOIA	09/24/2019	A list of all current Commodity Futures Trading Commission appointees ,including the following: • Career Senior Executive Service, • Non-Career Senior Executive Service, and • Schedule C appointees Specifically, please provide the first and last name, title, and office for each appointee/career official.	09/30/2019	Granted in Full
19-00133-FOIA	09/25/2019	Electronic copy of any engagement letter and/or retention agreement between the law firm King & Spalding and its representation of Heath Tarbert, Rostin Behnam, Daniel Berkovitz, James McDonald, Susan Gradman, Robert Howell Stephanie Reinhart, Neel Chopra in the pending matter 15-cv-2881 in the U.S. District Court for the Northern District of Illinois. The King & Spalding counsel was retained on September 18, 2019. The engagement/retention letter,	10/24/2019	Other Reasons - Referrals

		spelling out any fees and/or other terms, would be a matter of public record. (Date Range for Record Search: From 9/18/2019 To 9/18/2019)		
19-00134-FOIA	09/25/2019	Please provide annual salary information on Anna Rosenberg, special assistant to the CFTC chairman and legislative specialist. She is a 'Schedule C' appointee. Please provide in an expedited manner.	09/25/2019	Granted in Full
19-00135-FOIA	09/26/2019	1. All Communications to include: All documents produced & All demands, subpoenas, or other requests for Documents sent to and from Tyson, Cargill, Marfrig, or JBS by the CFTC from 1/1/2014-Present 2. All Documents sent to the Government Accountability Office in connection with its investigation involving suspected manipulation of the Cattle Futures market, and resulting GAO Report. 3. All Documents involving the CFTC's investigation of the volatility of the Cattle Futures market referenced on page 17 of the GAO Report. 4. All Documents relating to the CFTC's records of trading halts or "circuit breakers" in the Cattle Futures market. 5. All Documents relating to the CFTC's investigation of the relationship between the cash cattle market and Cattle Futures relating to pages 18-20 of the GAO Report, including the quality of beef reflected in the contracts and the price relationship between Cattle Futures and cash cattle on specific days of the week. 6. All "Large Trader" reports, filed with the CFTC pursuant to 17 C.F.R. § 17.00 et seq., concerning transactions in Cattle Futures executed during the Relevant Period. 7. All Documents that reflect Communications between the CFTC and Packers and Stockyards Program in relation to GIPSA's investigation of the 2015 drop in cattle prices, including but not limited to, end of day gross futures positions on all listed Cattle Futures contracts held by Tyson, JBS, Cargill, Marfrig/National Beef, and any related entities for the period beginning June 1, 2015, and ending December 31, 2015. 8. Any other Documents that reflect Communications with the Packers and Stockyards Program that discuss Cattle Futures contracts. 9. All Documents relating to complaints directed to the CFTC, or of which CFTC is aware, made by any person or entity (other than by Ranchers-Cattlemen Action Legal Fund United Stockgrowers of America) since January 1, 2014, relating to any suspected manipulation of Cattle Futures contracts; as well as all Documents showing the bases for the inquiries, the Documents collected by the CFTC in responding to the inquiries, and the outcome and/or the resolution of any such inquiries. 10. All Documents that reflect Communications with the CME regarding the CME's changing the contract terms of the Cattle Futures contracts, including increasing the quality of beef required for delivery and the delivery process, including in 2016 and 2017, and any subsequent communications. 11. All Documents regarding the 2013 CFTC review of the CME to verify compliance with the standards to prevent market manipulation in the Cattle Futures market, and any subsequent reviews involving Cattle Futures manipulation. 12. All Documents sufficient to identify the overall trading positions of the Tyson, Cargill, Marfrig/National Beef, and JBS in Cattle Futures contracts from 2014 to the present date, including all Documents that have producer/packer disaggregated positions, including, if available, Commitment of Trader reports that disaggregate cattle producers (farmers) and meat packers (Tyson, Cargill, Marfrig/National Beef, and JBS). If it is your position that any portion of the		

		requested records are exempt from disclosure, I request that the CFTC provide me with a Vaughn Index which describes each document you claim as exempt with sufficient specificity "to permit a reasoned judgment as to whether the material is actually exempt under FOIA. (Date Range for Record Search: From 1/1/2014 To 9/26/2019)		
19-00136-FOIA	09/27/2019	Disclosure Matter Pages ("DMPs") filed by Mr. Alan Waxman. Form 8-R outlines that he will file criminal, regulatory, and financial disclosure matter pages. NFA ID is 0481157.	09/27/2019	Granted in Full
19-00137-FOIA	09/27/2019	Information on JP MORGAN INVESTMENT MANAGEMENT INC's NFA #233420	09/27/2019	Granted in Full
20-00017-FOIA	08/22/2019	1. All documents and communications concerning the "binding agreement" referenced in docket entry 302 of the case captioned U.S. C.F.T.C. V. Kraft Foods Group, Inc., 15-cv-2881 (N.D. I11) (the "Kraft Case") 2. All documents and communications concerning the "Consent Order" referenced in docket entries 309 and 310 of the Kraft Case 3. All documents and communications concerning the decision by the CFTC and/or any of its staff, agents, and/or commissioners to approve the Consent Order 4. All documents and communications concerning the decision by the CFTC and/or any of its staff, agents, and/or commissioners to approve the Consent Order without findings of fact or conclusions of law 5. All documents and communications concerning the decision by the CFTC and/or any of its staff, agents, and/or commissioners to approve the provision in the Consent Order that states; "Neither party shall make any public statement about this case other than to refer to the terms of this settlement agreement or public documents filed in this case, except any party may take any lawful position in any legal proceeding, testimony, or by court order" 6. All documents and communications concerning the preparation by the CFTC and/or any of its staff, agents, and/or commissioners of the press releases referenced in docket entry 319 of the Kraft Case 7. All documents and communications concerning the decision by the CFTC and/or any of its staff, agents, and/or commissioners to publish the press releases referenced in docket entry 319 of the Kraft case 8. All documents and communications concerning the decision by the CFTC and/or any of its staff, agents, and/or commissioners to remove the press releases referenced in docket entry 319 of the Kraft Case	07/30/2020	Granted/Denied in Part
21-00024-FOIA	11/24/2020	Electronic copies of any and all email correspondence sent from any of the following U.S. Commodity Futures Trading Commission officials that mention any of the below keywords in the body, subject or attachment of the email from Sept 7, 2018, to the day this request is processed. Please include any attachments that were a part of these files, such as word documents, or PDFs or other types of documents. U.S. Commodity Futures Trading Commission Officials: - Chairman J. Christopher Giancarlo - Commissioner Brian D. Quintenz - Commissioner Rostin Behnam - Commissioner Dawn DeBerry Stump - Commissioner Dan M. Berkovitz Keywords: - "climate change" - "global warming" - "extreme weather events" - "greenhouse gas" - "GHG"	-	-

Total No of Requests : 142



CFTC FOIA Office
Three Lafayette Centre 1155 21st Street NW
Washington, DC 20581

Report Date:
Time:

07/30/2021
8:23 AM

Requests Report
Requested between 10/01/2019 and 09/30/2020

Request ID	Received Date	Request Description	Closed Date	Final Disposition
20-00001-FOIA	10/01/2019	Request for a current list of all CFTC Employees, in excel format, to include the following fields: Employee Full Name, Grade, Division, Office Location, Job Title, Occupation Description, and Salary. I further request a copy of the position descriptions and qualifications for every job title from grades CT 11 to CT 13, that fall within the following occupation classifications: miscellaneous administration and program, future trading assistant, future trading specialist, paralegal specialist, support services specialist, and records and information management.	11/08/2019	Granted in Full
20-00007-FOIA	10/01/2019	On or around July 28, 2019, Brian Bussey, former Director, Division of Clearing and Risk, sent an email to Tomeka Gilbert, Director, Business Management and Planning, the Office of the Executive Director, containing performance input for my 2018- 2019 performance assessment review. I am requesting a copy of that email and all attachments.	10/11/2019	Granted/Denied in Part
20-00003-FOIA	10/02/2019	In connection with "In the Matter of GFUI Securities, LLC, CFTC Docket No. 19-49, all communications between GFI Securities, LLC (or its agents), on the one hand, with the CFTC, on the other hand, regarding any GFI broker allegedly engaging in one or more of the following activities: (1) "flying bids"; (2) "flying prices"; and/or (3) "printing trades."	10/11/2019	Denied in Full
20-00004-FOIA	10/04/2019	Regarding: Energy & Derivatives Trading Seminar hosted by Sullivan & Cromwell LLP ("S&C") in Houston, Texas and /or New York, New York. 1. A copy of any comments Mr. McDonald delivered at the Seminars 2. A copy of any list of attendees at the Seminars (including their employers) that Mr. McDonald received prior to attending the Seminars. 3. A copy of any invitations Mr. McDonald received to attend the Seminars, and any communications either individual had with S&C regarding his attendance (including, if any of the communications were telephonic, a copy of the phone records identifying the number called and the duration of the call); and 4. Copies of communications between Mr. McDonald and S&C lawyers, S&C clients and other business representatives he met at the Seminars or subsequent to the Seminars (including, if any of the communications were telephonic a copy of the phone records identifying the number called and the duration of the call)	10/08/2019	Granted in Full
20-00005-FOIA	10/08/2019	A complete copy of any database(s) or electronic system(s) of records used to track judgments or other penalties imposed by the CFTC during the past fifteen (15) years. This information would include, but is not limited to: * The date of the penalty or judgment * The type of penalty or judgment * The amount of the penalty or judgment * The amount that was collected by the CFTC * The date on which the judgment was referred to the Treasury Department * The current amount of the debt * Any case numbers associated with the penalty or judgment	11/08/2019	Granted in Full
20-00006-FOIA	10/08/2019	Requesting the entire file including but not limited to the following: 1. All documents related to and forming the basis of In re FCStone, LLC, CFTC Docket No. 13-24 (CFTC filed May 29, 2013) (hereafter the "Order"); 2. All complaints filed for Docket No. 13-24; 3. All documents forming the basis of Press Release 6594-13; 4. All information filed regarding FCStone, LLC with the Commission from 2006-2013; 5. All documents identifying the "Account Owners" described in the Order; 6. All documents identifying the "FCStone Officers" described in the Order; 7. Submissions by FCStone, LLC to the Commission related to and in compliance with the Order; 8. A copy of all determinations, recommendations, and findings by "the Reviewer" submitted to the Commission as set forth in pp. 15-17 of the Order; 9. All notifications from FCStone, LLC provided to the Commission after May 29, 2013; 10. All notifications from the Commission sent to FCStone, LLC after May 29, 2013; 11. Any and all evidence of payment by FCStone, LLC of the \$1.5 million sanction as ordered by the Commission; 12. All FCStone, LLC employee personnel records; 13. All correspondence between FCStone, LLC and the Commission from 2009-2015; 14. All congressional correspondence involving or related to the Commission's investigation into FCStone, LLC; 15. All financial reports provided by FCStone, LLC to the Commission from 2008-2013; 16. All financial surveillance and audit information provided by FCStone, LLC to the Commission from 2008-2013; 17. Any and all investigatory records by the Commission related to FCStone, LLC in forming the opinions, factual allegations, and findings of the Order; 18. All documentation with the litigation files of the Commission related to FCStone, LLC; 19. Market Analysis Information; 20. Market Surveillance Files; 21. Procurement Contract Records; 22. Registration Applications; 23. Records Relating to Commission Meetings; and 24. Trade Practice Investigative Files.	11/20/2019	Granted/Denied in Part
20-00007-FOIA	10/11/2019	I request access to any and all ethics agreements filed by Chairman Heath Tarbert. That would include his original ethics agreement and any updates. (Date Range for Record Search: From 1/1/2019 To 10/11/2019)	10/15/2019	Granted in Full
20-00008-FOIA	10/17/2019	I want to know about my personal investments information please provide me details asap also want to receive investments return and able to sell some. (Date Range for Record Search: From 1/1/2000 To 10/17/2019)	10/17/2019	Other Reasons - No records
20-00009-FOIA	10/17/2019	A copy of each Administrative Subpoena issued by the CFTC's Office of Inspector General during the time period January 1, 2017 to present. You may limit this request to subpoenas in cases that are closed. (Date Range for Record Search: From 1/1/2017 To 10/17/2019)	10/23/2019	Other Reasons - No records
20-00010-FOIA	10/18/2019	Notice of claim request to provide proof of documentation for, I, (b)(7)(F) on what the Federal Reserve has to do with the plagiarism of my writings for the use of others intellectual property within the nation and internationally by 500 companies, radio, television and bank lending for local businesses to begin and thrive? Please provide documentation on how much is the amount profited by the United States, and any other nation and for each business? Please provide documentation for the Social Security Administration, to (b)(7)(F) (b)(7)(F)	10/18/2019	Other Reasons - Not a proper FOIA request for some other reason
	10/22/2019		02/12/2020	

20-00011-FOIA		A copy of the results of a search of emails TO or FROM or CC each of the following individuals: Daniel J. Davis and/or John Einstman, for emails containing the following keywords, during the time period January 1, 2019 to present: white, Trump, President, administration, problem, problematic, concern, concerns, political, violation, referral, referred, pursue, DOJ, unethical, or prohibited. I agree to the results of an electronic search of agency email. Please omit news clips or news compilations. (Date Range for Record Search: From 1/1/2019 To 10/22/2019)		Granted/Denied in Part
20-00012-FOIA	10/22/2019	A copy of the report of investigation into manipulation of petroleum markets and oil futures following the 14 September 2019 drone attack on the Saudi state-owned oil fields at Abqaiq and Khurais in Eastern Saudi Arabia.	10/24/2019	Other Reasons - No records
20-00001-FPA	10/23/2019	Requesting under FOIA/PA a copy of the records that you have about me (b)(6). If you find responsive but non-releasable information, please cite the exemptions and amount and type of exempted materials. I also request that any segregable portions that are not exempt to be disclosed.	10/24/2019	Other Reasons - No records
20-00013-FOIA	10/24/2019	Beginning November 14, 2018 how many investors in OptionSellers.com lost money and what was the amount of investor money that was lost? How much money, if any, did the clearing member INT FCstone refund to investors? Also, which members of the CFTC and CFTC staff were lobbied by representatives of INT FCstone after November 14, 2018? (Date Range for Record Search: From 11/14/2018 To 11/14/2018)	10/29/2019	Other Reasons - Not a proper FOIA request for some other reason
20-00014-FOIA	10/25/2019	Requesting electronic copies of the following: Precious Coins, Metals, oil, Annuities, utilities, and Agriculture. These fields are in commodities. I'm searching collector's coins value, the gold silver, cftc precious metals values, the oil barrel, crude, gas, etc. value, the agriculture value of cows, cattle, pigs, Bushels of corn, etc. The regulations necessary documents to trade these commodities. I would like any applications. I have no money to purchase or pay for copies for these documents.	10/25/2019	Other Reasons - Not a proper FOIA request for some other reason
20-00015-FOIA	10/28/2019	Request an electronic copy of a memo known informally at the CFTC as the "food memo," from approximately 2016 or early 2017, under then-Chairman Massad's tenure. A provision in the House 2019 CFTC Reauthorization Act includes a provision related to this memo, "Sec. 115: Authority to provide food and incidental assistance to foreign officials hosted by the Commission," therefore prompt fulfillment of this request is in the public interest to provide greater clarity on the need for this legislative language and change to the agency's statute. (Date Range for Record Search: From 1/1/2016 To 5/31/2017)	11/08/2019	Denied in Full
20-00016-FOIA	11/04/2019	A copy of Appendix B to ICE Futures U.S., Inc.'s product certification notice titled: Listing of Bitcoin Daily Futures Contract-Certification of New Product Pursuant to section 5c(c)(1) of the Commodity Exchange Act and Regulation 40.2, Submission No. 19-160 file on May 13, 2019. (Date Range for Record Search: From 5/13/2019 To 5/13/2019)	11/12/2019	Denied in Full
20-00001-AP	11/05/2019	Appeal of FOIA Request Nos. 19-00130 and 20-00004.	11/20/2019	Completely Affirmed
20-00018-FOIA	11/13/2019	NFA 7R and 8R Forms	11/14/2019	Granted in Full
20-00019-FOIA	11/13/2019	Record of all communications between the CFTC and the clearing firm INT FCStone from November 14, 2018 to November 11, 2019. This requests all representatives as well as officers of INT FCStone. For the CFTC it includes the five Commissioners and the staff of the CFTC, with special emphasis on the investigative staff such as George Malas. (Date Range for Record Search: From 11/14/2018 To 11/11/2019)	11/20/2019	Denied in Full
20-00020-FOIA	11/18/2019	We are requesting for information pertaining to activity in the market in general: Between April 2010 to April 2015, in the futures markets, in which contracts/securities and on which dates did CFTC obtain alerts of suspected or possible market manipulation, through its market surveillance system or otherwise? (To be clear, this is not a request for the trading activity relating to any individual or market participant, but merely a request for the market manipulation alerts generated within CFTC for the market in general, irrespective of which market participant(s) triggered those alerts. We understand that alerts may not constitute actual market manipulation. We also understand that during this period alerts could have been triggered by a number of different market participants and therefore they do not reveal the identities or trading patterns of any specific individuals). (Date Range for Record Search: From 4/1/2010 To 4/30/2015)	01/02/2020	Other Reasons - No records
20-00021-FOIA	11/18/2019	Electronic copies of all administrative subpoenas issued by the CFTC Office of Inspector General from January 1, 2017, to the date at which this request is processed. (Date Range for Record Search: From 1/1/2017 To 11/18/2019)	11/18/2019	Other Reasons - No records
20-00022-FOIA	11/20/2019	NFA Annual Registration update of Western Asset Management Company (NFA ID: 0203387) there are positive responses under Regulatory Disclosures to questions E, G, and I.	11/21/2019	Granted in Full
20-00023-FOIA	11/21/2019	All application information of ATC Brokers, NFA ID: 035822	11/21/2019	Granted/Denied in Part
20-00024-FOIA	11/21/2019	In response to a disclosure in Interactive Brokers' most recent 10-Q (pasted below), I am seeking to obtain records of correspondence between your department and Interactive Brokers or their counsel from the past three years. 10-Q Disclosure We are subject to regulatory oversight and examination by numerous governmental and self-regulatory authorities and are currently providing information to certain of such authorities, including FINRA, the SEC, the CFTC and the United States Department of Justice, and cooperating with those authorities. We believe that the regulators are focused on compliance practices, including anti money laundering and Bank Secrecy Act practices. We periodically review these practices to make them more robust and to keep pace with changing regulatory standards, and we have been enhancing and augmenting our procedures and personnel in these areas over the past several years. The outcome of the examinations and inquiries currently in progress cannot be predicted. While we do not believe that the outcome of the current examinations and inquiries will have a materially adverse effect on our financial results, the outcome of those examinations and inquiries cannot be predicted	12/04/2019	Denied in Full
20-00025-FOIA	11/25/2019	I am currently an employee of CFTC and working as a data analyst at a CT-13 position. I am requesting a Position Description (PD) for a Data Analyst CT-14 position in Data Management Branch at CFTC. I am interested to see how the duties change by moving to a higher grade.	12/10/2019	Other Reasons - No records
20-00026-FOIA	11/25/2019	I hereby request under the Freedom of Information Act and 17 C.F.R. Part 145 any records relating to any speaking role of a Commodity Futures Trading Commission representative at any event organized by a law firm listed in Exhibit A (see attached file) from between July 1, 2013 and July 1, 2019. (Date Range for Record Search: From 7/1/2013 To 7/1/2019)	02/14/2020	Granted in Full
20-00027-FOIA	11/29/2019	All of the investors who contacted the CFTC after OptionSellers went under in the second week of November 2018 and the clearing company INT FCstone went after these investors for the losses.	12/02/2019	Denied in Full
	12/03/2019	For the period November 14, 2018 to November 1, 2019 requesting the names of all persons who contacted the CFTC for assistance after OptionSellers went under. This is to include contact with	12/10/2019	Denied in Full

20-00028-FOIA		clearing firm INT FCStone, and Laura Riso of the FBI, Department of Justice. (Date Range for Record Search: From 11/14/2018 To 11/1/2019)		
20-00029-FOIA	12/04/2019	Any and all e-mail, text or other communications records between Kelly Loeffler of Intercontinental Continental Exchange that contain the word "Bakkt" and CFTC officials, including CFTC commissioners or their staff, the CFTC chairman or his staff, staff in the Division of Swap Dealer and Intermediary Oversight and/or Division of Market Oversight staff from Jan. 1, 2017 through the current date. (Date Range for Record Search: From 1/1/2017 To 12/4/2019)	02/05/2020	Granted/Denied in Part
20-00030-FOIA	12/06/2019	File requested: Thane Twiggs NFA ID: 0454518 Info Requested: 8R form	12/06/2019	Granted/Denied in Part
20-00031-FOIA	12/06/2019	Lawrence Fox's 8-R Report	12/06/2019	Granted in Full
20-00032-FOIA	12/06/2019	All communications from October 5, 2018 to the present between the United States Commodity Futures Trading Commission and Melanie E. Damian, Esq. (or Ms. Damian's counsel at Damian & Valori LLP) in connection with the enforcement action of Commodity Futures Trading Commission v. Timothy Joseph Atkinson, et al., Case No. 18-23992-CIV-MARTINEZ/AOR. (Date Range for Record Search: From 10/5/2018 To 12/6/2019)	01/09/2020	Denied in Full
20-00033-FOIA	12/06/2019	1. The complete investigative testimony transcript of Timothy Atkinson taken on April 11, 2018 at the United States Securities and Exchange Commission in File No. HO-13010-A. 2. The complete investigative testimony transcript of Timothy Atkinson taken on April 12, 2018 at the United States Securities and Exchange Commission in File No. HO-13010-A. 3. The complete investigative testimony transcript of William Berry taken on October 2, 2017 at the United States Securities and Exchange Commission in File No. HO-13010-A. 4. The complete investigative testimony transcript of William Berry taken on May 14, 2018 at the United States Securities and Exchange Commission in File No. HO-13010-A. 5. The complete investigative testimony transcript of William Berry taken on May 15, 2018 at the United States Securities and Exchange Commission in File No. HO-13010-A. 6. The complete investigative testimony transcript of Shmuel Pollen taken on April 19, 2018 at the United States Securities and Exchange Commission in File No. HO-13010-A. 7. All other investigative testimony transcripts taken at the United States Securities and Exchange Commission in File No. HO-13010-A. 8. Any investigative testimony transcripts taken at the United States Commodity Futures Trading Commission in File No. HO-13010-A.	12/10/2019	Other Reasons - No records
20-00034-FOIA	12/12/2019	Please provide a current organization chart showing CFTC staff under each CFTC Division or Office Director. In particular, we would like those under the Division of Clearing and Risk. But will be helpful if we can get other.	01/08/2020	Granted in Full
20-00035-FOIA	12/12/2019	Case No. 1:18-cv-23992-JEM, specifically transcripts in exhibits 5 through 8 (pages 78 through 231) from docket entry 8-3.	01/08/2020	Denied in Full
20-00036-FOIA	12/12/2019	All data and documents related to investigations the CFTC has carried out in connection with the CFTC's June 25, 2019 Order Instituting Proceedings Pursuant to Section 6(c) and (d) of the Commodity Exchange Act, Making Findings, and Imposing Remedial Sanctions, CFTC Docket No. 19-07 regarding Merrill Lynch Commodities, Inc. for the manipulation of the price of Precious Metals futures contracts on the COMEX and NYMEX. (Date Range for Record Search: From 6/25/2019 To 6/25/2019)	01/15/2020	Denied in Full
20-00037-FOIA	12/13/2019	The Florida Board of Bar Examiners investigates the character and fitness of all applicants for admission to the Bar. The applicant listed (b)(6) reports being investigated for insider trading and entering a settlement in relation to such on or about December 2015 (CFTC Docket no. 16-02). Please provide the following information and/or documentation related to such: The initial complaint in the matter; Any response submitted by the applicant; Records related to the applicant's re-payment of the restitution obligation to his former employer (\$216,955.80 judgment) and civil monetary penalty (\$100,000 judgment), including information/documentation of the outstanding balance(s) owed if not satisfied; Any other documents or information that might be helpful in evaluating the applicant's character and fitness to practice law. (Date Range for Record Search: From 12/1/2015 To 12/31/2015)	01/02/2020	Granted in Full
20-00038-FOIA	12/13/2019	I would like the self-reported CRD numbers for each associated NFA ID. In other words, for the NFA members who self-report a CRD number, I would like those NFA numbers and the reported CRD. I would ideally like this information in a csv file, but I am willing to accept it in any format. I would like the information for each year from 2007 through the present. (Date Range for Record Search: From 1/1/2007 To 12/13/2019)	12/16/2019	Other Reasons - Not an agency record
20-00039-FOIA	12/17/2019	Form 8-R outlines a Financial Disclosure with the following individuals: Joshua Weintraub, Mark Neporent, Jeffrey Lomasky, Stephen Feinberg and Frank Bruno, Benjamin Alexander, Seth Plattus,	12/18/2019	Granted in Full
20-00040-FOIA	12/27/2019	(1) handwritten notes saved as PDF files which I kept as an employee of the CFTC; and (2) an Excel file which I created in as an employee of the CFTC which consisted of a list of nominees to serve as members of the Commission since its creation and dates related to their progress of consideration by the Senate. (Date Range for Record Search: From 7/1/2009 To 5/31/2014)	04/30/2020	Other Reasons - Not an agency record
20-00041-FOIA	12/31/2019	Any and all documents reflecting James Cordier, Michael Gross, and OptionSellers (of OptionSellers.com) registration as a Commodity Trading Advisor with the CFTC	01/23/2020	Granted/Denied in Part
20-00042-FOIA	01/02/2020	I am requesting information or records regarding daily futures option quotes. Specifically, I am requesting the following variables on a daily basis for the commodity futures options listed below: • Contract code with month and year • Daily Trade date • Expiration date • Strike Price • Settlement price • Volume • Open Interest • Corresponding Futures Contract Settlement Price For the following contracts: • CBOT -OZC (Corn) -OZC (Soybeans) -OZW (Chicago Soft Red Winter Wheat) -OZR (Rough Rice) • CME -LE (Live Cattle) -HE (Lean Hogs) GF (Feeder Cattle) • ICE -CT (Cotton No. 2) (Date Range for Record Search: From 1/1/1980 To 12/31/1985)	01/22/2020	Other Reasons - No records
20-00001-CDNS	01/03/2020	-3 unclassified documents -2 FBI documents regarding the CFTC	01/17/2020	Granted/Denied in Part
20-00043-FOIA	01/06/2020	1) the expenses incurred by the Commission and 2) the person-hours expended by Commission staff categorized by the associated GS-personnel numbers in the Commission's prosecution of the case Commodity Futures Trading Commission v. Jitesh Thakkar and Edge Financial Technologies, Inc. for the third and fourth quarters of the 2019 federal fiscal year. (Date Range for Record Search: From 4/1/2019 To 9/30/2019)	02/18/2020	Granted in Full
20-00044-FOIA	01/06/2020	I am requesting information or records regarding the following entities from January 1, 2012 to the present: 1. OptionMint.com 2. OptionQueen.com 3. OptionKing.com 4. Optionprince.com 5. Advanced Option Capital Limited 6. Kensington Intellectual Property LTD 7. Erie Marketing 8. Next Wave Marketing 9. Welsh Investment Global 10. SpotOption 11. Panda Trading Systems 12. Hello	02/14/2020	Denied in Full

		Markets 13. Karinzā 14. Zilmil, Inc. 15. Digital Platinum 16. All In Publishing 17. Credorax 18. Algocharge 19. Fibonatrix Limited 20. Processing.com 21. Grey Mountain 22. Mellius 23. Grandstream Marketing 24. Kaktus Telecom Ltd. (Date Range for Record Search: From 1/1/2012 To 1/6/2020)		
20-00045-FOIA	01/08/2020	the customer segregated funds of Interactive Brokers, LLC pursuant to The Freedom of Information Act (FOIA), Title 5 of the United States Code, section 552. § 1.10 Financial reports of futures commission merchants and introducing brokers. (d) Contents of financial reports. (1) Each Form 1-FR filed pursuant to this § 1.10 which is not required to be certified by an independent public accountant must be completed in accordance with the instructions to the form and contain: (i) A statement of financial condition as of the date for which the report is made; (ii) Statements of income (loss) and a statement of changes in ownership equity for the period between the date of the most recent statement of financial condition filed with the Commission and the date for which the report is made; (iii) A statement of changes in liabilities subordinated to claims of general creditors for the period between the date of the most recent statement of financial condition filed with the Commission and the date for which the report is made; (iv) A statement of the computation of the minimum capital requirements pursuant to § 1.17 as of the date for which the report is made; (v) For a futures commission merchant only, the statements of segregation requirements and funds in segregation for customers trading on U.S. commodity exchanges and for customers' dealer options accounts, the statement of secured amounts and funds held in separate accounts for 30.7 customers (as defined in § 30.1 of this chapter) in accordance with § 30.7 of this chapter, and the statement of cleared swaps customer segregation requirements and funds in cleared swaps customer accounts under section 4d(f) of the Act as of the date for which the report is made; and (vi) In addition to the information expressly required, such further material information as may be necessary to make the required statements and schedules not misleading. (Date Range for Record Search: From 1/1/1992 To 3/30/2002)	01/16/2020	Other Reasons - No records
20-00046-FOIA	01/08/2020	Requesting copies of the following records: 1. All documents and communications related to Docket Number 19-51, instituting proceedings against Aron Seidenfeld. 2. All documents produced to the Commission or obtained by the Commission in connection with its investigation related to Docket Number 19-51. 3. Transcripts of any testimony or interviews of Aron Seidenfeld, Harry Weber, Aron Feferkorn, or any other individuals who were interviewed or provided testimony in connection with the Commission's investigation of H.A.L. NY Holdings, Aron Seidenfeld, or BSD Assets LLC. 4. All Documents and communications related to Aron Seidenfeld, H.A.L. NY Holding LLC, BSD Assets LLC, or Harry Weber. 5. Documents and communications that identify the owners of H.A.L. NY Holdings and BSD Assets. 6. All Documents and communications related to BSD Assets LLC ("BSD"). I therefore request that I be provided with all non-exempt portions of any responsive document that are reasonably segregable. I further request that you describe in detail any documents or portions of documents that you withhold, and specify the statutory basis for your decision to withhold. (Date Range for Record Search: From 7/1/2014 To 1/8/2020)	02/13/2020	Granted/Denied in Part
20-00047-FOIA	01/08/2020	Any and all communications involving a 11/2/2010 meeting between CFTC staff and Jump Trading regarding disruptive trading practices. (Date Range for Record Search: From 11/2/2010 To 11/2/2010)	02/05/2020	Granted/Denied in Part
20-00048-FOIA	01/08/2020	Record of the date in which Interactive Brokers, LLC became a Futures Commission Merchant and began accepting customer funds.	01/16/2020	Granted in Full
20-00049-FOIA	01/14/2020	I would like genericized copies of the DSIO cyber threat alerts that were sent out on January 3, 2020 and January 9, 2020. According to press reports: "On January 3, 2020, the Division of Swap Dealer and Intermediary Oversight (DSIO) of the U.S. Commodity Futures Trading Commission (CFTC) issued two cyber threat alerts regarding the hacking of approximately one dozen cloud service providers" and "The CFTC clarified the scope of its requests in a supplement sent on Jan. 9, 2020." https://www.lexology.com/library/detail.aspx?g=6f5e439c-c3cc-4f95-8479-c25a109d137c and https://www.lexology.com/library/detail.aspx?g=280aa2a4-714a-4de5-99e3-5c7f8fdccb92 . I would like copies of the original alerts and the clarification requests that were sent on January 3 and January 9.	01/23/2020	Granted in Full
20-00050-FOIA	01/14/2020	All record logs that record written correspondence, including letters, sent to and from members of Congress and the Commodity Futures Trading Commission (CFTC) in calendar years 2017, 2018 and 2019.	01/17/2020	Granted in Full
20-00051-FOIA	01/15/2020	I'm requesting any emails, memoranda, communications or other documents, including but not limited to invoices or budget documents for the creation of the new CFTC logo. The relevant period for requesting the documents should range from July 15, 2019 to January 13, 2020. Relevant accounts include (but are not limited to) communications between Chairman Heath Tarbert, his staff: Jaime Klima, Charles Thornton, Chelsea Pizzola, Melissa Benedict, Chanel Smith, Anna Rosenberg, the Office of Public Affairs, the CFTC's facilities or operations staff, and outside contractors or third parties. (Date Range for Record Search: From 7/15/2019 To 1/13/2020)	04/27/2020	Granted/Denied in Part
20-00052-FOIA	01/15/2020	All records of correspondence including emails, e-mail attachments, text messages, and memos referencing "Robert Hunter Biden," "Hunter Biden," "Burisma," "Rosemont Seneca," "Christopher Heinz," "Devon Archer," or "Oldaker, Biden & Belair." (Date Range for Record Search: From 1/1/2007 To 12/31/2019)	01/30/2020	Other Reasons - No records
20-00053-FOIA	01/16/2020	please produce copies in electronic form of all FOIA requests submitted to the CFTC by journalists affiliated with The Washington Post, The Wall Street Journal, or The New York Times (to the extent the requesting journalists' affiliation is ascertainable from the face of the FOIA request). (Date Range for Record Search: From 1/1/2019 To 1/15/2020)	01/17/2020	Granted in Full
20-00054-FOIA	01/22/2020	(b)(6) am requesting any correspondence, orders, subpoenas, depositions, on the record testimony and internal NFA/ CFTC notes and records that the CFTC or NFA currently possesses regarding any audit, investigation or inquiry concerning (b)(6) for the time period June 1, 2010 through December 31, 2011. These documents, including correspondence, may have been directed to or been between (b)(6) and staff of the NFA or CFTC. (Date Range for Record Search: From 6/1/2010 To 12/31/2011)	03/06/2020	Granted/Denied in Part
20-00055-FOIA	01/23/2020	Copy of the most recent 8R for Sloane W. Payne III - NFA #271747	01/27/2020	Denied in Full
20-00056-FOIA	01/27/2020	All records, emails, attachments, text messages, data, and presentations that were sent to or received from the Secretary of the CFTC and Senator Elizabeth Warren. (Date Range for Record Search: From 1/1/2013 To 12/31/2019)	02/25/2020	Granted/Denied in Part
	01/27/2020	The date when the investigation into Quiddity, LLC was opened. The date when Mr. Donald Newell of Quiddity, LLC was contacted about the investigation, prior to the interviews conducted by the	03/06/2020	Granted/Denied in Part

20-00057-FOIA		CFTC of Mr. Newell in September and October 2011. Any and all correspondence, notices or other documents sent before August 23, 2012 to Quiddity, LLC regarding the investigation (excluding the enforcement action/lawsuit brought against him in federal court). A copy of any correspondence, memos, notes or other documents of, about, or related to the interviews conducted of Mr. Newell of Quiddity, LLC in September 2011 and October 2011. An exact copy of the file maintained by CFTC regarding Quiddity, LLC, including but not limited to its license, its activities and any and all investigations and/or enforcement actions related to it. The date when the investigation into Mr. Newell was opened. The date when Mr. Newell was contacted about the investigation, prior to the interviews conducted by the CFTC of Mr. Newell in September and October 2011. Any and all correspondence, notices or other documents sent before August 23, 2012 to Mr. Newell regarding the investigation (excluding the enforcement action/lawsuit brought against him in federal court). A copy of any correspondence, memos, notes or other documents of, about, or related to the interviews conducted of Mr. Newell in September 2011 and October 2011. (Date Range for Record Search: From 9/1/2011 To 8/23/2012)		
20-00058-FOIA	01/29/2020	For the time period of January 1, 1997 to June 9 1999: All documents, notes, transcripts, agendas, memoranda, notices, or recordation of Commodity Futures Trading Commission's ("CFTC") Commissioners' votes related to the adoption of and correction to "Appendix A to Part 10-Commission Policy Relating to the Acceptance of Settlements in Administrative and Civil Proceedings" ("Appendix A to Part 10").1 For the time period of October 19, 1998 to June 9, 2000: All letters, correspondence, comments, communications, or documents received in response to the CFTC's adoption of and correction to Appendix A to Part 10. (Date Range for Record Search: From 1/1/1997 To 6/9/2000)	03/06/2020	Granted/Denied in Part
20-00059-FOIA	01/31/2020	I am requesting information or records regarding the testimony of Damien Bombell in relation to the CFTC vs Global Minerals and Metals, R. David Campbell, Carl Alm, Merrill Lynch & Co., Inc., Merrill Lynch International Inc., and Merrill Lynch Pierce Fenner and Smith (Brokers & Dealers) Limited in Connection with 1995 Manipulation and Attempted Manipulation of the Copper Market; Global, Campbell, and Alm Charged in the Administrative Proceeding with Direct Participation in the Conduct; Merrill Lynch Entities Charged with Aiding and Abetting. The three-year enquiry ruled in 1999. Mr Bombell was an employee of Merrill Lynch in 1995-96.	03/06/2020	Denied in Full
20-00060-FOIA	01/31/2020	I would like to request the documents obtained by the CFTC in connection with the consent decree issued by the CFTC in respect to Sumitomo Corporation copper litigation.	03/18/2020	Other Reasons - Request withdrawn
20-00061-FOIA	01/31/2020	This is a request under the Freedom of Information Act. I request that a copy of documents containing the following information be provided to me: All memoranda of understanding (MOUs) entered into by the Commodities Futures Trading Commission and any other agency or bureau in the federal government (cabinet departments, independent agencies, offices in the executive office of the President, etc.) from as far back as records are kept until the present. (Date Range for Record Search: From 4/15/1974 To 1/31/2020)	03/05/2020	Granted/Denied in Part
20-00062-FOIA	02/03/2020	I want all of the communications that you received in the second week of November 2018 from investors who lost money when OptionSellers went down and INT FCStone went innocent investors like me for the losses (Date Range for Record Search: From 11/12/2018 To 11/16/2018)	02/05/2020	Denied in Full
20-00001-RFF	02/03/2020	7 unclassified Documents which originated with the CFTC.	02/05/2020	Granted/Denied in Part
20-00063-FOIA	02/03/2020	All Freedom of Information Act Requests requesting records on the following individuals and organizations, from January 1, 2017 to present: Kelly Loeffler, Jeffrey Sprecher, Intercontinental Exchange, Inc./ICE, New York Stock Exchange/NYSE, Bakkt, LLC The CFTC Freedom of Information Act Request Log from November 1, 2019 to present. (Date Range for Record Search: From 1/1/2017 To 2/4/2020)	02/12/2020	Granted in Full
20-00064-FOIA	02/03/2020	All Written Correspondence and emails between the CFTC and the following individuals from January 1, 2013 to present: 1. Kelly Loeffler, 2. Jeffrey Sprecher. All Emails sent or received by the CFTC containing the following terms from January 1, 2013 to present: Kelly Loeffler, Jeffrey Sprecher (Date Range for Record Search: From 1/1/2013 To 2/4/2020)	05/08/2020	Granted/Denied in Part
20-00065-FOIA	02/05/2020	All records regarding the registrations of Liberty Trading/OptionSellers (NFA No. 0292580) registration and status as an Introducing Broker (1999), Commodity Trading Advisor (2004), the withdrawal of the Commodity Trading Advisor (2005), registration as a Commodity Trading Advisor (2010), and withdrawal of their Introducing Broker (2012), including all Forms 7R, 8R, I-FR, Submission of Written Procedures and Policies, Past Performance Reports (for CTA Registration), and Submission of Disclosure Document (for CTA Registration).	02/25/2020	Granted/Denied in Part
20-00066-FOIA	02/06/2020	The 8 December 2018 7-R Form of Oaktree Capital Management, LP (NFA ID:0297897) contains a "Yes" answer for a Regulatory Disclosure.	02/07/2020	Granted in Full
20-00067-FOIA	02/06/2020	Copies of negotiations for contracts associated with the August 2019 approval of Bakkt's launching of custody and physically-delivered daily and monthly bitcoin futures contracts. I am further requesting copies of all penalties administered by the CFTC against Bakkt and/or ICE (Intercontinental Exchange) (Date Range for Record Search: From 1/1/2015 To 2/6/2020)	02/14/2020	Other Reasons - No records
20-00068-FOIA	02/11/2020	Requesting information or records regarding all Law Firms (outside counsel) hired by the Department for the year 2020, including the name of every Attorney at the associated law firm and their hourly rate(s) for 2020.	02/14/2020	Other Reasons - No records
20-00069-FOIA	02/11/2020	access to open interest and volume of future contracts for all single commodities listed data available (from 1970 to now) (Date Range for Record Search: From 1/1/1970 To 2/11/2020)	02/14/2020	Other Reasons - Not a proper FOIA request for some other reason
20-00070-FOIA	02/13/2020	All email communications (including email messages with complete email chains, email attachments, calendar invitations, and calendar invitation attachments) sent by any of the officials specified in Column A, below, to any of the external individuals or entities specified in Column B, below, regarding regulation of nonbank financial companies. Column A: CFTC Officials 1. Heath Tarbert, Chairman and Chief Executive, and anyone communicating on his behalf, such as an executive or special assistant, or scheduler 2. Christopher Giancarlo, former Chairman and Chief Executive, and anyone communicating on his behalf, such as an executive or special assistant, or scheduler 3. Brian Quintenz, Commissioner, and anyone communicating on his behalf, such as an executive or special assistant, or scheduler 4. Rostin Benham, Commissioner, and anyone communicating on his behalf, such as an executive or special assistant, or scheduler 5. Dawn DeBerry Stump, Commissioner, and anyone communicating on her behalf, such as an executive or special assistant, or scheduler 6. Dan Berkovitz, Commissioner, and anyone communicating on his behalf, such as an executive or special assistant, or scheduler 7. James McDonald, Director, Division of Enforcement 8. Bruce Tuckman, Chief Economist 9. Dorothy DeWitt, Director, Division	04/13/2020	Other Reasons - No records

		of Market Oversight 10. Anyone serving in the role of White House Liaison or White House Advisor, including anyone in an acting capacity Column B: External Entities 1. Prudential Financial, including but not limited to anyone communicating with an email address ending in @prudential.com 2. American International Group, including but not limited to anyone communicating with an email address ending in @aig.com 3. MetLife, including but not limited to anyone communicating with an email address ending in @metlife.com 4. GE Capital, including but not limited to anyone communicating with an email address ending in @gecapital.com 5. Invariant, including but not limited to anyone communicating with an email address ending in @invariantgr.com 6. Cypress Advocacy, including but not limited to anyone communicating with an email address ending in @cypressgroupdc.com 7. Williams Group, including but not limited to anyone communicating with an email address ending in @thewilliamsgroupdc.com 8. Baker & Hostetler, including but not limited to anyone communicating with an email address ending in @bakerlaw.com 9. Ballard Partners, including but not limited to anyone communicating with an email address ending in @ballardfl.com and @ballardpartners.com 10. Porterfield, Fetting, & Sears, including but not limited to anyone communicating with an email address ending in @pfs-dc.com American Oversight requests that CFTC, at a minimum, employ these search terms to identify responsive records: 1. "nonbank" 2. "shadow bank" 3. "systemically important financial institution" 4. SIFI 5. "Financial Stability Oversight Council" 6. FSOC 7. "Dodd-Frank" 8. "activities based" 9. "activities-based" 10. "entity-based" 11. "entity based" (Date Range for Record Search: From 1/1/2019 To 2/13/2020)		
20-00071-FOIA	02/18/2020	Please advise all Regulatory Agencies and contact information. They were incorporated in Delaware. Their office is in Texas. 23970 Highway 59 North Kingwood, TX 77339 United States PHONE 1-866-722-8500 WEBSITE www.ascentiumcapital.com Ascentium Capital LLC is a finance consulting company. The Company offers diversified finance solutions through their finance platform, to help companies acquire industrial equipment, franchise assets, office equipment, software, specialty vehicles, technology and other resources. SECTOR Financials INDUSTRY Specialty Finance SUB-INDUSTRY Commercial Finance FOUNDED 05/17/2011 ADDRESS 23970 Highway 59 North Kingwood, TX 77339 United States PHONE 1-866-722-8500 WEBSITE www.ascentiumcapital.com Ascentium Capital LLC is a finance consulting company.	02/19/2020	Other Reasons - Not a proper FOIA request for some other reason
20-00072-FOIA	02/18/2020	• All electronic, paper and any other communications between Commodity Futures Trading Commission Chairman Heath P. Tarbert, former CFTC Chairman J. Christopher Giancarlo, chief of Staff Jaime L. Klima, Counselor to the Chairman N. Charles Thornton III, Senior Counsel Matthew Daigler and Secretary of the Commission Christopher Kirkpatrick AND the following representatives and former representatives of International Exchange Inc. (ICE): ICE CEO and New York Stock Exchange Chairman Jeffrey Sprecher, former ICE and BAK KT executive Kelly Lynn Loeffler, Assistant General Counsel Kara Dutta and senior director Kurt Windeler (see time frame below). • All electronic, paper and any other communications between the previously named CFTC officials and any other representative of International Exchange Inc., BAKKT, the New York Stock Exchange and ICE Clear U.S. • The above request is modified by the following applicable search terms: "derivatives clearing organization"; DCO; swaps; "recovery and resolution"; "burden estimate"; "pre-trade risk"; "position limit"; "substantial risk"; bitcoin; BAKKT; Trump; Mnuchin; Kushner; and Parscales. • Additionally, I am requesting any calendar entries, meeting agendas, sign-in sheets and meeting notes for all meetings between the previously cited CFTC officials and representatives of ICE. • The time frame for the above requests is January 21, 2017 to the present. (Date Range for Record Search: From 1/21/2017 To 2/18/2020)	04/06/2020	Granted/Denied in Part
20-00073-FOIA	02/19/2020	Official congressional correspondence from U.S. Senator Bernie Sanders from 2017 through 2019, as well as the agency's responses to such correspondence. (Date Range for Record Search: From 1/1/2017 To 12/31/2019)	02/25/2020	Granted in Full
20-00074-FOIA	02/25/2020	Financial Data for FCMs or similarly styled reports for the following years: Semi Annual Reports for Mar and Sep 1995, Mar 1996, Sep 1999, Mar 2000, and Sep 2000 and Quarterly-Ending reports from Dec 2000 to Mar 2002. These reports were stated to be used in a paper titled "Futures Commission Merchants, Customer Funds and Capital Requirements: An Organizational Analysis of the Futures Industry" dated January 29, 2019 by Ekaterina E. Emm, Gerald D. Gay, and Mo Shen. (Date Range for Record Search: From 3/1/1995 To 3/31/2002)	02/26/2020	Granted in Full
20-00075-FOIA	02/26/2020	1998-2002 Interactive Brokers Monthly Segregated and Secured Funds Data. (Date Range for Record Search: From 1/1/1998 To 12/31/2002)	02/26/2020	Other Reasons - No records
20-00076-FOIA	02/26/2020	I request a digital or electronic copy of documents containing the following information be provided to me: Every employee of the U.S. Commodity Futures Trading Commission currently detailed to the United States Senate. Specifically, please provide the first and last name, title, and office for each employee who is detailed to the United States Senate for the second session of the 116th Congress.	03/05/2020	Granted in Full
20-00077-FOIA	03/03/2020	Any and all correspondence between your agency and U.S. Senator Kelly Loeffler or the Office of Sen. Kelly Loeffler between December 4, 2019 - February 14, 2020, including but not limited to electronic correspondence with accounts with the following domain name: loeffler.senate.gov. Direct correspondence should include letters, emails, reports, and other relevant material. I am not seeking any secondary material such as phone logs, notations of conversation, etc. (Date Range for Record Search: From 12/4/2019 To 2/14/2020)	03/12/2020	Other Reasons - No records
20-00078-FOIA	03/03/2020	Listing of Inspector General investigations closed during Calendar Year 2018 and 2019. (Date Range for Record Search: From 1/1/2018 To 12/31/2019)	03/11/2020	Granted in Full
20-00079-FOIA	03/09/2020	Any and all files, records, documents, or other things of any kind whatsoever, including but not limited to electronically stored information, related or pertaining in any way to the consideration, planning, establishment, creation, operation, management, staffing, duties, jurisdiction, purpose administration described in the Commission's Press Release 7811-18 (Sep 28, 2018).	03/11/2020	Denied in Full
20-00080-FOIA	03/09/2020	I am requesting information on the number of employees furloughed in the Commodity Futures Trading Commission during the 2013 and 2018-2019 government shutdown. I am collecting agency furlough ratios, which is the number of employees furloughed divided by the total number of employees on board at the event. Thus, I request both the furlough numbers and the total number of employees on board. Thus, I request both the furlough numbers and the total number of employees on board. (Date Range for Record Search: From 1/1/2013 To 12/31/2019)	04/16/2020	Granted in Full
20-00081-FOIA	03/10/2020	Commodity Trading, silver certification & appraisals. Any information pertinent to the request, in a PDF.	03/10/2020	Other Reasons - Not a proper FOIA request for some other reason
	03/10/2020	U.S. Department of Justice Referral for (b)(6)	03/10/2020	Granted in Full

20-00002-RCF				
20-00082-FOIA	03/10/2020	I am requesting information or records regarding a complaint made by individual Oleh Zadoretzky on or around January 8, 2019, including any decision or response rendered by the Commission. The confirmation number for this complaint is 1901-0421-0531-36.	03/13/2020	Granted/Denied in Part
20-00083-FOIA	03/11/2020	(i) Suspicious activity reports obtained by the CFTC from any of the exchanges, trading venues, or market participants (including traders and brokers/dealers) that have filed such reports with the CFTC. If filtering these reports by the nature of the suspicious activity is feasible, it would be sufficient to provide only those reports that concern "layering", "spoofing", or "manipulation". It is also sufficient to provide the information in anonymised form with any information that identifies specific people being removed or concealed. (Date Range for Record Search: From 1/1/2013 To 12/31/2015)	03/24/2020	Other Reasons - No records
20-00084-FOIA	03/11/2020	The CFTC recently completed a civil action ("the case") as plaintiff against Jiongsheng Zhao as defendant (CIVIL ACTION NO. 1:18-cv-00620). Request the following information: (i) The list of dates and contracts on which the 3,100 alleged spoof orders were entered. For example, the complaint provides some of the dates/contracts: (a) ES contract June Delivery (ESM3) on April 15, 2013, (b) ES contract March Delivery (ESH4) on March 5, 2014, etc. We kindly request the remaining dates/contracts that contain the spoof orders.	03/16/2020	Denied in Full
20-00085-FOIA	03/12/2020	Correspondences between the Commodity Futures Trading Commission and members of Congress and their offices. 1) The name of the member of Congress who contacted the Commodity Futures Trading Commission 2) The date the Commodity Futures Trading Commission was contacted 3) The subject of the inquiry. (i.e. What did kind of information did the member request? Or what was the correspondence about?) 4) When (and if) the request was completed. (Date Range for Record Search: From 1/1/2001 To 12/31/2019)	03/12/2020	Granted in Full
20-00086-FOIA	03/12/2020	Please provide copies of all materials relating to past or current investigations relating to Interactive Brokers' violations of Bank Secrecy Act and/or any Anti Money Laundering laws and regulations	03/13/2020	Denied in Full
20-00087-FOIA	03/13/2020	Any and all information related to CFTC Docket No. 16-29 (In the Matter of Advantage Futures, LLC, Joseph Guinan, and William Steele), including but not limited to any documents and/or communications related to the investigation and/or settlement of said matter.	04/01/2020	Other Reasons - Request withdrawn
20-00088-FOIA	03/17/2020	Please submit to me the total amounts that investors and/or their attorneys submitted a claim for. Also explain how this case is different from the 2013 case where INT FCStone was fined \$1.5 million and forced to assume \$127 millions in losses. Please provide me with information identifying any lawyers and lobbyists who have contacted the CFTC on behalf of INT FCStone, including the Wilkie, Farr & Gallagher firm.	03/25/2020	Other Reasons - No records
20-00089-FOIA	03/17/2020	An electronic copy (e.g. pdfs on a CD-ROM or via email) of a complete list of the CFTC's Division of Clearing and Risk; CFTC's Division of Enforcement; CFTC's Division of Market Oversight; and CFTC's Office of Swap Dealer and Intermediary Oversight staff members who have departed since March 1, 2014, this being the earliest possible date for which Freedom of Information Act law permits a request. The Revolving Door Project seeks all responsive records regardless of format, medium, or physical characteristics. In conducting your search, please understand the terms "record," "document," and "information" in their broadest sense, to include any written, typed, recorded, graphic, printed, or audio material of any kind. To ensure that this request is properly construed, that searches are conducted in an adequate but efficient manner, and that extraneous costs are not incurred, the Revolving Door Project welcomes an opportunity to discuss its request with you before you undertake your search or incur search or duplication costs	03/25/2020	Granted in Full
20-00090-FOIA	03/19/2020	(i) Expert reports of Terrence Hendershott (CFTC v. Nav Sarao Futures Limited Plc and Navinder Singh Sarao), as Terrence Hendershott stated in his CV to have been retained by CFTC to opine on spoofing allegations in the futures market. He filed a declaration in 2015. It is also sufficient to provide the information in anonymized form with any information that identifies specific people being removed or concealed.	03/24/2020	Other Reasons - Public Records
20-00091-FOIA	03/23/2020	A copy of each Management Advisory, Management Advisory Memorandum, and Management Advisory Report produced by the CFTC Office of Inspector General since January 1, 2017. A printout of the listing of Management Advisories, Management Advisory Memoranda, and Management Advisory Reports issued by CFTC OIG since January 1, 2010.	06/18/2020	Granted/Denied in Part
20-00092-FOIA	03/23/2020	1. All demands, subpoenas, or other requests from You for Documents sent to Volatility Impacted Instrument market participants in relation to the VIX Event (the "RFIs"). 2. All Documents that have been produced by Volatility Impacted Instrument market participants to You, regardless of date, in connection with any RFI or investigation conducted by the CFTC in relation to the VIX Event. 3. All Documents relating to the CFTC's records of trading halts or "circuit breakers" in any Volatility Impacted Instrument. 4. All Documents produced by You in connection to any RFI or investigation by You of the VIX Event; including all Documents that reflect Communications between You and RFI recipients. 5. All Documents sufficient to identify any entities whose positions in Volatility Impacted Instruments triggered surveillance by CFTC's Market Surveillance1 personnel, for the dates from January 29, 2018 to February 13, 2018; as well as all Documents showing the bases for the surveillance, the Documents collated and produced by You in conducting such surveillance, and the outcome and/or resolution of any such inquiry. 6. All "Large Trader" reports, filed with the CFTC pursuant to 17 C.F.R. §17.00 et seq., concerning transactions in Volatility Impacted Instruments, for the dates from January 29, 2018 to February 13, 2018. 7. All Documents that reflect CFTC aggregations of the Large Trader reports referenced in Request No. 6. 8. All "Trader in Financial Futures" reports created by You, relating to any Volatility Impacted Instruments, for the dates of January 30, February 6, and February 13, 2018. 9. All Documents that reflect Communications between You and any other Governmental Entity and/or FINRA, in connection to any investigation by that other Governmental Entity into the VIX Event. 10. All Documents that reflect Communications between You and the CME and/or Cboe in relation to the VIX Event. 11. All Documents relating to complaints directed to You, or of which You are aware, made by any person or entity relating to the VIX Event; as well as all Documents showing the bases for the inquiries, the Documents collected by You in responding to the inquiries, and the outcome and/or the resolution of any such inquiries. (Date Range for Record Search: From 1/29/2018 To 2/13/2018)	04/07/2020	Denied in Full
20-00093-FOIA	03/23/2020	1. Documents analyzing, examining, or concerning the sale of precious metals on a leveraged, margined, or financed basis to retail investors by Goldline or any of its agents, partners or related entities. 2. Documents analyzing, examining, or concerning the sale of precious metals on a leveraged, margined, or financed basis to retail investors by A-Mark Precious Metals or any of its agents, partners or related entities. 3. Documents regarding, related to, or concerning any investigation into Goldline's sale of precious metals on a leveraged, margined, or financed basis to retail investors. 4. Documents regarding, related to, or concerning any investigation into AMark	03/26/2020	Denied in Full

		Precious Metals' sale of precious metals on a leveraged, margined, or financed basis to retail investors. 5. Customer complaints regarding, related to, or concerning Goldline, from between January 1, 2015 and the present. 6. Customer complaints regarding, related to, or concerning A-Mark Precious Metals, from between January 1, 2015 and the present.		
20-00094-FOIA	03/23/2020	I'm a reporter at Crain's Chicago Business. I am requesting any communication between the CFTC and CME Group regarding the auction of Ronin Capital's portfolios this month.	05/19/2020	Granted/Denied in Part
20-00095-FOIA	03/27/2020	# 1: All calendars or calendar entries for Sharon Bowen, including any calendars maintained on his behalf (e.g., by an administrative assistant), from June 9, 2014 through September 29, 2017. Revolving Door Project requests that the calendars be produced in a format that includes all invitees, any notes, and all Attachments. Please do not limit your search to Outlook calendars. We request the production of any document—paper or electronic, whether on government-issued or personal devices—used to track or coordinate how Bowen allocated her time on agency business. # 2: All records concerning the identities of all non-Commodity Futures Trading Commission employees who entered the CFTC's Washington, DC headquarters to meet with Sharon Bowen between March 26, 2014 and September 29, 2017. These records are sometimes referred to as visitor logs. #3: All records reflecting communications, including emails, email attachments, text messages, messages on messaging platforms (such as Slack, GChat or Google Hangouts, Lync, Skype, or WhatsApp), telephone call logs, calendar invitations, calendar entries, meeting notices, meeting agendas, informational material, draft legislation, talking points, any handwritten or electronic notes taken during any oral communications, summaries of any oral communications, or other materials between Sharon Bowen and any employee of the firm The Intercontinental Exchange (@theice.com) between the dates June 9, 2014 and September 29, 2017.	05/20/2020	Granted/Denied in Part
20-00096-FOIA	03/27/2020	# 1. All calendars or calendar entries for Steven Adamske, including any calendars maintained on his behalf (e.g., by an administrative assistant), from May 9, 2011 through October 31, 2017. Revolving Door Project requests that the calendars be produced in a format that includes all invitees, any notes, and all Attachments. Please do not limit your search to Outlook calendars. We request the production of any document—paper or electronic, whether on government-issued or personal devices—used to track or coordinate how Adamske allocated his time on agency business. #2. All records reflecting communications, including emails, email attachments, text messages, messages on messaging platforms (such as Slack, GChat or Google Hangouts, Lync, Skype, or WhatsApp), telephone call logs, calendar invitations, calendar entries, meeting notices, meeting agendas, informational material, draft legislation, talking points, any handwritten or electronic notes taken during any oral communications, summaries of any oral communications, or other materials between Steven Adamske and any employee of the Futures Industry Association (@fia.org) between the dates May 9, 2011 and October 31, 2017. #3. All records concerning the identities of all non-Commodity Futures Trading Commission employees who entered the CFTC's Washington, DC headquarters to meet with Steven Adamske between May 9, 2011 and October 31, 2017. These records are sometimes referred to as visitor logs.	06/09/2020	Granted/Denied in Part
20-00097-FOIA	03/27/2020	# 1. All calendars or calendar entries for Aitan Goelman, including any calendars maintained on his behalf (e.g., by an administrative assistant), from June 10, 2014 through February 3, 2017. Revolving Door Project requests that the calendars be produced in a format that includes all invitees, any notes, and all Attachments. Please do not limit your search to Outlook calendars. We request the production of any document—paper or electronic, whether on government-issued or personal devices—used to track or coordinate how Goelman allocated his time on agency business. #2. All records reflecting communications, including emails, email attachments, text messages, messages on messaging platforms (such as Slack, GChat or Google Hangouts, Lync, Skype, or WhatsApp), telephone call logs, calendar invitations, calendar entries, meeting notices, meeting agendas, informational material, draft legislation, talking points, any handwritten or electronic notes taken during any oral communications, summaries of any oral communications, or other materials between Aitan Goelman and any of employee of the firm Zuckerman Spaeder LLP (@zuckerman.com) between the dates June 10, 2014 and February 3, 2017. #3. All records concerning the identities of all non-Commodity Futures Trading Commission employees who entered the CFTC's Washington, DC headquarters to meet with Aitan Goelman between March 26, 2014 and February 3, 2017. These records are sometimes referred to as visitor logs.	05/28/2020	Granted/Denied in Part
20-00098-FOIA	03/30/2020	A list of all IP addresses that visited: https://www.cftc.gov/sites/default/files/idc/groups/public/@forms/documents/file/cftcform204.pdf over the past month. Please obfuscate the fourth octet of the IP addresses in order to preserve the privacy of the users (ex: 191.98.244.XXX). My requested records should be located in log files maintained by the CFTC. (Date Range for Record Search: From 3/1/2020 To 3/30/2020)	04/13/2020	Other Reasons - No records
20-00099-FOIA	03/30/2020	I am requesting information or records regarding Exhibit B of ICE Futures U.S. Inc's Submission to the CFTC titled Submission No. 19-49 dated January 28, 2019. In particular I am requesting the information on Exhibit B that pertains to "California Carbon Allowance Current Auction Clearing Price" contract(s).	04/09/2020	Denied in Full
20-00100-FOIA	03/31/2020	Please provide copies of the requests from market participants referenced in the no-action letters numbered 20-02 through to 20-12 inclusive. (Date Range for Record Search: From 1/1/2020 To 3/31/2020)	04/17/2020	Other Reasons - Public Records
20-00007-AP	04/09/2020	I respectfully request reconsideration of this decision and further review as to whether each and every one of the 5,000 responsive pages is exempt under FOIA Exemption 5.	04/16/2020	Completely Reversed/Remanded
20-00101-FOIA	04/10/2020	A list of all current Commodity Futures Trading Commission appointees, including the following: • Career Senior Executive Service, • Non-Career Senior Executive Service, and • Schedule C appointees Specifically, please provide the first and last name, title, and office for each appointee/career official.	05/01/2020	Granted in Full
20-00102-FOIA	04/10/2020	I hereby request a copy of the CTFC no-action letter 20-10 (issued March 20, 2020) describes receiving a request "from an insured depository institution," identified only as "X." (Date Range for Record Search: From 3/20/2020 To 3/20/2020)	04/17/2020	Other Reasons - Public Records
20-00103-FOIA	04/13/2020	Copies of subpoenas that name any of the following people, companies or organizations: 1) Arthur Hayes 2) HDR Global Trading Limited 3) Binance Holdings Limited 4) CoinMarketCap OpCo, LLC 5) bit Flyer, Inc 6) ByBit 7) Bequant Exchange Ltd 8) FTX Trading LTD 9) Huobi Group 10) OkeX (Date Range for Record Search: From 1/1/2019 To 4/13/2020)	04/21/2020	Denied in Full
20-00104-FOIA	04/13/2020	I hereby request the following records: Any emails, memos, powerpoint decks regarding the acquisition of CoinMarketCap (https://coinmarketcap.com/) by the cryptocurrency exchange Binance (Date Range for Record Search: From 3/1/2020 To 4/8/2020)	04/21/2020	Other Reasons - No records
20-00105-FOIA	04/14/2020	Transactions made on the New York Harbor RBOB Gasoline Front Month Futures where one of the following entities was a counterparty: ExxonMobil Refining & Supply Co.; Exxon Mobil Corporation; Alon U.S.A. Energy, Inc.; BP West Coast Products LLC; Chevron U.S.A. Inc.; Equilon Enterprises LLC (d/b/a Shell Oil Products US) Phillips 66; Tesoro Refining & Marketing Company LLC; and Valero Marketing and Supply Company. I am also asking for any communications with	04/27/2020	Other Reasons - No records

		the above-listed entities related to CFTC Rule 1.35(a). This includes any communications where an exemption to Rule 1.35(a) was granted by the CFTC. (Date Range for Record Search: From 1/1/2012 To 4/14/2020)		
20-00106-FOIA	04/20/2020	The total amount lost when OptionSellers went under in November 2018	06/22/2020	Denied in Full
20-00107-FOIA	04/29/2020	Please provide any and all correspondence between CFTC officials and the administrators of the USO Fund ETF, or the commodity pool operator making investments on behalf of the fund, related to the USO's holdings or positions in WTI futures contracts during the period of March 15, 2020 through April 28, 2020. (Date Range for Record Search: From 3/15/2020 To 4/28/2020)	05/08/2020	Denied in Full
20-00108-FOIA	05/01/2020	Please provide the following information for federal employees at your agency for calendar years 2016, 2017, 2018 and 2019. A. Agency name B. Employee name (or unique identifier) C. Job title D. Supervisory status E. Occupational series F. Pay grade G. Step (or equivalent) H. GS level equivalent I. Agency division/ department J. Agency subdivision or office K. Duty station location (locality group) L. Locality or geographic rate M. Base salary N. Base and locality (total salary) O. Amount of bonuses awarded to the employee in that calendar year P. Number of years in federal service Q. Number of years at current agency R. Number of years in current grade S. Whether the employee has a commission recognized by the Agency (regardless of whether the commission was achieved from the Agency)	05/19/2020	Granted in Full
20-00109-FOIA	05/04/2020	Copies of any subpoenas regarding to the takeover of CoinMarketCap (CoinMarketCap opco, LLC) by Binance (April 2020). Any internal documents relating to concerns the CFTC has regarding the acquisition of coinMarketcap by Binance (March-April 2020). Copies of any communications sent to CoinMarketcap staff by the CFTC (Feb-April 2020).	05/06/2020	Other Reasons - No records
20-00110-FOIA	05/06/2020	Since July 2013 began, have foreign central banks and their financial intermediaries take part in the CBIP program? (Y/N) Which specific central banks or central bank financial intermediaries trading on their behalf have taken part in the program? (all Names Please) In which specific COMEX, NYMEX, and CBOT markets have they been, and are they trading currently in? (e.g. interest rates, specific FX cross rates, Gold, etc.) In what markets in what volumes, broken out by year, beginning in 2013 to present-day 2020?	05/07/2020	Other Reasons - Not a proper FOIA request for some other reason
20-00111-FOIA	05/07/2020	Contract Number: GS35F502AA-CFODT15D00210 Federal Contract Vehicle: Information Technology Schedule 70 (IT-70) Dollars Obligated: 361353.32 Funding Agency: Commodity Futures Trading Commission Awarding Agency: Commodity Futures Trading Commission Awarded Vendor: Actionable Intelligence Technologies, Inc. Award Date: 2015-08-20T00:00:00-04:00 NAICS category: 511210 - Software Publishers PSC category: 7030 - Information Technology Software Description: COMPREHENSIVE FINANCIAL INVESTIGATIVE SOLUTION (CFIS)ACCESS AND SUPPORT Place of Performance: sterling, VA, USA Place of Performance State: Virginia	05/18/2020	Granted in Full
20-00112-FOIA	05/11/2020	I am requesting documents and information related to (1) the National Futures Association's ("NFA") investigation of Hamilton Williams, LLC (NFA ID# 358241) and (2) Gary G. Dennison (NFA ID# 0286375).	05/11/2020	Other Reasons - No records
20-00113-FOIA	05/11/2020	The agreements and any documents related to the agreements for the following cases: CFTC Dkt. No. 18-R003, CFTC Dkt. No. 18-R025, CFTC Dkt. No. 16-R017, CFTC Docket No. 17-R003, CFTC Dkt. No. 18-R028, CFTC Dkt. No. 18-R027	05/22/2020	Granted/Denied in Part
20-00114-FOIA	05/12/2020	January 1, 2009 to the present (May 12, 2020). Content: I request (a) any non-public communications between CFTC staff and ISDA (the International Swaps and Derivatives Association) regarding the creation of the credit default swap auction process; (b) any non-public reports or assessments by CFTC staff regarding the credit default swap auction process; and (c) any complaints received by the CFTC pertaining to the credit default swap auction process. (Date Range for Record Search: From 1/1/2009 To 5/12/2020)	09/01/2020	Granted/Denied in Part
20-00115-FOIA	05/13/2020	Information on Effex Capital, LLC and John Adam Harcovitz Dittami	05/19/2020	Other Reasons - Not a proper FOIA request for some other reason
20-00116-FOIA	05/14/2020	I am requesting information or records regarding the US federal investigation into manipulation of cryptocurrency commodity prices which was conducted by the Commodity Futures Trading Commission following rapid rise and crash of value for Bitcoin and other cryptocurrencies in the latter part of 2017 to mid-2018. All information which was obtained from the future exchanges investigated would be most appropriate. The known exchanges in question are Bitstamp, Coinbase, iBit, and Kraken, but if any other exchanges or marketplaces which encompass Bitcoin or cryptocurrencies are available, please include these as well. Please provide all data in spreadsheet form for all cryptocurrencies per each exchange. Of particular interest are quantity, frequency, volume, and price of all trades, along with frequency of withdrawals and deposits out of each exchange, for a period of 180 days before and 90 days following 18 December 2017. (Date Range for Record Search: From 6/20/2017 To 3/20/2018)	05/29/2020	Denied in Full
20-00117-FOIA	05/18/2020	Communications, correspondence, emails, letters, communiques, memoranda, meeting minutes and/or notes, and/ or any other documents between the CFTC and the CME Group, Inc. and between the CFTC and the New York Mercantile Exchange ("NYMEX") and between the CFTC and any and all subsidiaries of CME Group, Inc. and/or NYMEX for the period of time between April 17, 2020 and April 23, 2020 specifically regarding the trade of WTI oil futures. (Date Range for Record Search: From 4/17/2020 To 4/23/2020)	07/29/2021	Granted/Denied in Part
20-00003-REF	05/20/2020	All copies of referrals and dispositions of the referrals made to the Department of Justice of potential violations of conflict of interest statutes (18 U.S.C. 203, 205, 207, 208, 209), failure to file or filing false public financial disclosures (5 U.S.C. app. section 104 or 108 U.S.C. section 1001), a civil matter involving outside earned income under 5 U.S.C. app. Section 501, or outside activities under 5 U.S.C. app. section 502, since Jan. 20, 2017. These copies of referrals and dispositions of referrals are submitted to OGE using OGE Form 202, as required by 5 C.F.R. 2638.206(a).	05/20/2020	Granted/Denied in Part
20-00118-FOIA	05/21/2020	A copy of the following record(s): An electronic copy of any and all active employees' salaries (fiscal or calendar) 2020 broken down by employee, in lectronic format and emailed. Each active employee record should contain: Employee Name, Service Computation Date, Agency, Agency Sub-element, Duty Station, Occupation, Pay Plan, Grade, Step, Adjusted Basic Pay, Bargaining Unit Code, Work Schedule, City, State, County, Personnel Office ID, Email Address.	06/17/2020	Granted in Full
20-00119-FOIA	05/22/2020	I would require monthly option prices data on calls and puts for the S&P 500. (Date Range for Record Search: From 1/1/1996 To 3/31/2020)	05/22/2020	Other Reasons - Public Records
20-00120-FOIA	05/26/2020	A copy of the final report or report of investigation (ROI) for each SUBSTANTIATED CFTC Office of Inspector General investigation closed during Calendar Year 2018 or Calendar Year 2019.	07/06/2020	Granted/Denied in Part
	05/26/2020		07/07/2020	Granted in Full

20-00121-FOIA		A copy of the Questions For the Record (QFR) and agency QFR responses to Congress responding to QFRs during calendar years 2017, 2018, 2019 and 2020 to date, for CFTC.		
20-00122-FOIA	05/26/2020	A copy of the meeting minutes from the 13th and 14th meetings of the Market Risk Advisory Committee. A copy of the meeting minutes from the most recent three meetings of the Global Markets Advisory Committee. A copy of the meeting minutes from the most recent meeting of the Technology Advisory Committee. A copy of the meeting minutes from the most recent meeting of the Agricultural Advisory Committee.	06/09/2020	Granted/Denied in Part
20-00123-FOIA	05/26/2020	Please, provide me with any and all non-public records compiled in investigations and consumer complaints against North American Derivatives Exchange, Inc ('NADEX', NFA ID 0340344) for the period of 07/21/2010-05/25/2020. (Date Range for Record Search: From 7/21/2010 To 5/25/2020)	07/24/2020	Granted/Denied in Part
20-00124-FOIA	05/27/2020	I am requesting a data summary of Commodity Futures Trading Commission direct leased real property inventory. I request that this information be provided in database file format such as Microsoft Excel (.xls) or Comma Separated Values (.CSV). Please include the following data fields: Location Code Lease Effective Date Property Name Lease Expiration Date Property Address Current Annual Rent Property City Renewal Options Property State Renewal Notice Date Property Zip Code Renewal Option Type Property Rentable SF Owner Contact Name Property Usable SF Owner Address Lease Number Owner City Agency Name Owner State Agency Rentable SF Owner Zip Agency Usable SF Owner Phone Number Lease Type (Office, Storage, Warehouse etc.) Latitude/Longitude	05/28/2020	Other Reasons - Public Records
20-00125-FOIA	05/27/2020	I request the non-public, internal analysis conducted by CFTC staff regarding the March 2019 proposal by the International Swaps and Derivatives Association ("ISDA") to reform the credit default swap market. The specific analysis was reported in the following article: "Wall Street's Shady Swap Trades Spark Pushback From Regulators," Bloomberg (Aug. 5, 2019) (Date Range for Record Search: From 2/1/2019 To 8/5/2019)	10/23/2020	Denied in Full
20-00002-CONS	05/29/2020	All email correspondence by Lanny Breuer, Dan Suleiman, Steven Fagell, Amy Pope and any executive assistant/secretary to the Assistant Attorney General for the Criminal Division with the domain name "@cov.com" between March 1, 2009 through March 31, 2013.	05/29/2020	Granted in Full
20-00126-FOIA	06/03/2020	Requesting the Report of the Division of Trading and Markets: Exchanges of Futures for Physicals (Oct, 1987)	06/04/2020	Granted in Full
20-00127-FOIA	06/04/2020	I am requesting any memos, investigative records, emails (both internally among CFTC staff and externally with the emails listed below) between February 2013 to present that concern any investigation into or surveillance of Robert Escobio, Susan Escobio, and Southern Trust. Key terms listed in original request	07/09/2020	Denied in Full
20-00128-FOIA	06/04/2020	Any and all public, non-confidential, non-privileged, files, records, documents, or other things of any kind whatsoever, including but not limited to electronically stored information, released or issued by the Commission in any way, including no-action letters, regulations, formal or informal responses to inquiries of any kind, policy or procedural pronouncements (including but not to the Division of Enforcement's "Enforcement Manual"), and/or Congressional or other presentations, testimony, lectures, speeches or advisories, related or pertaining in any way to (1) the consideration, planning, establishment, creation, operation, management, staffing, duties, jurisdiction, purpose, case, proceedings, and/or administration of the so-called "Insider Trading and Information Protection Task Force" described in the Commission's Press Release 7811-18 (Sep 28, 2018), and/or (2) the scope, coverage, effect, application of the following laws and regulations: Section 6(c)(1) of the Commodity Exchange Act, as amended (CEA), 7 U.S.C. § 9(1) (2012) CFTC Regulation 180.1(a), 17 C.F.R. § 180.1(a) (2013) CFTC Regulation 17 C.F.R. § 155.4 (b) (2013)	07/08/2020	Other Reasons - Public Records
20-00003-CONS	06/08/2020	Consult for Division of Enforcement Records	06/08/2020	Granted in Full
20-00129-FOIA	06/08/2020	Obtain confirmation of Tower Research Capital LLC's ("Firm") payment of monetary penalties in connection a November 6, 2019 Order Instituting Proceedings Pursuant to Section 6(c) and (d) of the Commodity Exchange Act, Making Findings, and Imposing Remedial Sanctions issued by the CFTC (CFTC Docket No. 20-06)	06/16/2020	Granted/Denied in Part
20-00003-AP	06/08/2020	Appeal of FOIA 20-00079 by Constantine Gekas, for all records related to Commission Press Release 7811-18 (Sep. 28, 2018).	06/30/2020	Completely Affirmed
20-00130-FOIA	06/08/2020	UBS AG's ("Firm") payment of monetary penalties in connection a January 29, 2018 Order Instituting Proceedings Pursuant to Section 6(c) and (d) of the Commodity Exchange Act, Making Findings, and Imposing Remedial Sanctions issued by the CFTC (CFTC Docket No. 18-07).	06/16/2020	Granted/Denied in Part
20-00131-FOIA	06/19/2020	I am requesting: (1) historical PWS/SOW for existing contract - 9523ZY17CBMP0090 (2) for existing contract, who is currently assigned: PM (program manager), COR (customer of record), POC (point of contact), CO (contract officer), and CS (contract specialist)	06/23/2020	Granted in Full
20-00132-FOIA	06/19/2020	I am requesting information about your agency's policies regarding ex parte meetings during rulemaking.	06/22/2020	Granted in Full
20-00133-FOIA	06/23/2020	Any investigative report for an investigation into conduct or activities of Lorena Orozco McElwain, former Director of the Office of Minority and Women Inclusion and Director of Business Management and Planning.	07/07/2020	Denied in Full
20-00134-FOIA	06/24/2020	Requesting NFA registration Forms for entities and individuals on whom we are conducting due diligence on behalf of our clients.	06/24/2020	Granted/Denied in Part
20-00004-CONS	07/01/2020	15 unclassified documents which originated in the CFTC	07/07/2020	Other Reasons - Not an agency record
20-00135-FOIA	07/01/2020	(a) Any information which would pertain to the fitness of John Dittami to engage in business subject to the CFTC's jurisdiction; (b) Any Information would pertain to the fitness of Effex to engage in business subject to CFTC's jurisdiction; (c) Any information which would be considered in connection with Effex seeking admission to NFA; (d) Any information which would be considered in Effex seeking to become associated with a member of NFA; (e) Any Information which would be considered in connection with Dittami seeking admission to NFA; and (f) Any information which would be considered in connection with Effex seeking to become associated with a member of NFA.	07/16/2020	Granted in Full
20-00136-FOIA	07/02/2020	Any and all records of your communications, including correspondence, emails, and text messages, with Barclays Bank, PLC, JP Morgan Chase Bank, N.A., UBS AG, The Royal Bank of Scotland, plc, HSBC Bank, plc, and Citibank, N.A., including any of its agents or affiliates, in connection with the Commodity Futures Trading Commission, Order Instituting Proceedings Pursuant to Sections 6(c)(4)(A) and 6(d) of the Commodity Exchange Act, Making Findings, and	08/07/2020	Granted/Denied in Part

		Imposing Remedial Sanctions entered against Barclays Bank, PLC in May 2015, and JP Morgan Chase Bank, N.A., UBS AG, The Royal Bank of Scotland, plc, HSBC Bank, plc, and Citibank, N.A., in November 2014. Any and all FD-302 reports, and other investigative reports of other federal agencies you received or used in connection with the Commodity Futures Trading Commission, Order Instituting Proceedings Pursuant to Sections 6(c)(4)(A) and 6(d) of the Commodity Exchange Act, Making Findings, and Imposing Remedial Sanctions entered against Barclays Bank, PLC, in May 2015 and JP Morgan Chase Bank, N.A., UBS AG, The Royal Bank of Scotland, plc, HSBC Bank, plc, and Citibank, N.A., in November 2014.		
20-00137-FOIA	07/02/2020	Requesting a copy of all public comments the commission received in regards to a notice of proposed rulemaking published at 49 FR 34132 on August 28, 1984. A final rule was adopted and published at 51 FR 22880 on June 23, 1986 entitled "Enforcement of Nondiscrimination on the Basis of Handicap in Federally Conducted Programs."	07/09/2020	Other Reasons - Request withdrawn
20-00138-FOIA	07/06/2020	Any and all records of correspondence between February 1, 2020 and July 3, 2020 containing electronic communications from United States Representatives or Senators discussing proposed changes to the Volcker Rule in the regulatory proposal RIN 3038-AE93 .	07/13/2020	Other Reasons - No records
20-00139-FOIA	07/13/2020	A copy of each letter to Congress or Congressional Committees or Offices from the CFTC Chairman or the CFTC regarding "fee-funding" of the CFTC, during the last six years. A copy of each memo or evaluation at the CFTC regarding "fee funding" of the CFTC, during the last six years. (Date Range for Record Search: From 7/1/2014 To 7/13/2020)	07/20/2020	Other Reasons - No records
20-00140-FOIA	07/13/2020	A copy of the most recent CCP Workplan. CCP stands for Central Counterparties. The CCP Workplan is found in the Division of Clearing and Risk. I also ask for the next most recent CCP Workplan.	07/21/2020	Other Reasons - No records
20-00141-FOIA	07/14/2020	I am requesting: (1). historical PWS/SOW for existing contract - 9523ZY17CBMP0167 (2). for existing contract, who is currently assigned: PM (program manager), COR (customer of record), POC (point of contact), CO/KO (contract officer), and CS (contract specialist)	08/04/2020	Granted in Full
20-00142-FOIA	07/20/2020	1) The CFTC's entire file related to its investigation of Wells Fargo Bank, N.A. regarding a foreign exchange (FX) forward contract with a counterparty to exchange \$4 billion U.S. dollars for \$4.347 billion Canadian dollars in August of 2014 ("In the Matter of: Wells Fargo Bank, N.A., Respondent; CFTC Docket No. 20-08"). (2) All Offers of Settlement submitted by Wells Fargo Bank, N.A. in the In the Matter of: Wells Fargo Bank, N.A., Respondent; CFTC Docket No. 20-08. (3) All interviews, including any attachments or other related documents, conducted in connection with the CFTC's investigation in the Matter of: Wells Fargo Bank, N.A., Respondent; CFTC Docket No. 20-08. (4) All correspondence between Wells Fargo Bank, N.A. and the CFTC in connection with the CFTC's investigation in the Matter of: Wells Fargo Bank, N.A., Respondent; CFTC Docket No. 20-08. (5) All documents submitted to the CFTC by Wells Fargo Bank, N.A. in connection with the CFTC's investigation in the Matter of: Wells Fargo Bank, N.A., Respondent; CFTC Docket No. 20-08.		
20-00005-CONS	07/23/2020	FBI Records regarding: Black Diamond Ponzi Scheme (January 1, 2009-December 31, 2010)	07/23/2020	Granted in Full
20-00143-FOIA	07/23/2020	A copy of the Market Disruption Contingency Plan developed by DCR in cooperation with DMO and DSIO. This plan documents CFTC procedures and authorities for certain market disruption scenarios.	08/18/2020	Denied in Full
20-00144-FOIA	07/23/2020	I request a copy of the SIDCO Examination Handbook/Manual, which may go by a somewhat different name. By this I mean the handbook or manual used to guide the examination of SIDCOs. If there is no SIDCO Handbook or Manual, than I instead request the DCO Examination Handbook or Manual	08/07/2020	Other Reasons - No records
20-00145-FOIA	07/23/2020	Records regarding the description and results of the March 2016 Tabletop Exercise run by DCR, in conjunction with FRB, Treasury Dept, FDIC, SEC, OCC and FSOC. Also, records regarding the description and results of the 2017 Tabletop Exercise run by DCR with many of the same participants	08/13/2020	Other Reasons - No records
20-00146-FOIA	07/31/2020	Requested Records • Copies of all actions taken by the CFTC against TS Capital Management LLC, (NFA ID: 0422796) and TS Capital Partners, LLC, (NFA ID: 0414709) including but not limited to enforcement actions, administrative and reparation sanctions, injunctions, and penalties. • Any investigative summaries and reports from the CFTC and the NFA related to the investigation of TS Capital Management LLC, (NFA ID: 0422796) and TS Capital Partners, LLC (NFA ID: 0414709) from January 1st, 2010 to December 31st, 2016. • All investor and employee complaints filed with the CFTC and NFA against TS Capital Partners, LLC, (NFA ID: 0414709) and TS Capital Management LLC, (NFA ID: 0422796) from January 1st, 2010 to December 31st, 2016. • All written correspondences between Thomas H. 'Tommy' Tuberville (DOB: (b)(6)), the NFA, and the CFTC Division of Enforcement during the investigation of TS Capital Partners, LLC, (NFA ID: 0414709) and TS Capital Management LLC, (NFA ID: 0422796) from January 1st, 2010 to December 31st, 2016. • The NFA's audit reports of TS Capital Partners, LLC, (NFA ID: 0414709) and TS Capital Management LLC, (NFA ID: 0422796) from April 4-6, 2011 ("April 2011 NFA audit") and October 17-27, 2011 ("October 2011 NFA audit"). • TS Capital Partners, LLC, (NFA ID: 0414709) and TS Capital Management LLC's, (NFA ID: 0422796) Forms 7-R and any attachments thereto.	09/01/2020	Granted/Denied in Part
20-00147-FOIA	08/03/2020	8R, digital copy only for ELAD SHRAGA	08/25/2020	Granted/Denied in Part
20-00148-FOIA	08/07/2020	Requested non-public documents regarding Armand Nakkab ("Nakkab").	08/10/2020	Denied in Full
20-00149-FOIA	08/10/2020	1. For any employee who, since January 1, 2017, entered into a non-political position* at the Commodity Futures Trading Commission as an attorney or economist at CT-13 or above: a. The position into which the employee entered; and b. The resume provided by the individual to the agency when applying for the position or determining the appropriate salary for the individual, or, if those are not available, a recent resume contained within the agency's records. We have no objection to the redaction of contact information (addresses, telephone numbers, e-mail addresses) for the employee or references, or to the redaction of past salary information. Employment, education, and professional association information is not exempt and we object to any redactions of such information. *For purposes of this request, please consider any employee in a PAS position, a presidentially appointed position, a non-career SES position, a Schedule C position, or any administratively-determined position to be a "political appointee," and thus outside the scope of this request. All other employees who meet the above criteria should be included in this request.	08/31/2020	Granted/Denied in Part
20-00150-FOIA	08/13/2020	A copy of the meeting agendas and meeting minutes for meetings of the internal CFTC staff-level interdivisional working group chaired by DCR that meets periodically with clearinghouses, exchanges, market participants, technology innovators and other regulators to keep abreast of		

		developments and promote coordination across agency staff on emerging technology issues. (Date Range for Record Search: From 1/1/2017 To 8/13/2020)		
20-00151-FOIA	08/13/2020	A copy of any memos discussing workforce attrition in the Division of Enforcement, and/ or its causes.	09/03/2020	Other Reasons - No records
20-00152-FOIA	08/13/2020	A copy of the log of DCO cybersecurity reported incidents. You may limit this request to the last four years worth of logged incidents. AND, Request records that show statistics on DCO cybersecurity incidents. (Date Range for Record Search: From 8/13/2016 To 8/13/2020)	09/30/2020	Other Reasons - No records
20-00004-AP	08/17/2020	Appeal of FOIA No. 20-00145-FOIA.	08/27/2020	Completely Reversed/Remanded
20-00153-FOIA	08/19/2020	I'm looking for information on the SEC and CFTC's joint investigation into Abra. We covered the final fine back in July, but I would like to access the initial complaints that prompted the investigation as well as the SEC's correspondence with Abra and with the CFTC on the subject of Abra.	12/02/2020	Granted/Denied in Part
20-00154-FOIA	08/20/2020	Information or records regarding: -A memo from the Division of Market Oversight to the CFTC Commission dated June 8, 2010. - A memo from the Division of Market Oversight to the CFTC Commission dated June 14, 2010	08/21/2020	Granted in Full
20-00155-FOIA	08/20/2020	NFA 8-R Form for Douglas Braunstein 0452725	08/21/2020	Granted/Denied in Part
20-00156-FOIA	08/21/2020	I am requesting: (1). historical PWS/SOW for existing contract - 9523ZY16COED0274 (2). for existing contract, who is currently assigned: PM (program manager), COR (customer of record), POC (point of contact), CO/KO (contract officer), and CS (contract specialist)	08/27/2020	Granted/Denied in Part
20-00157-FOIA	08/24/2020	This is a test	08/27/2020	Other Reasons - No records
20-00158-FOIA	08/25/2020	For the following time periods: May 1, 2012 to May 16, 2012 & April 1, 2013 to April 17, 2013 -CTFC Form 102 and CFTC Form 40, submitted by or on behalf of Deutsche Bank Futures Corporation / Deutsche Bank Futures, Inc., with respect to its daily short and net short positions in silver / silver derivatives. -CTFC Form 102 and CFTC Form 40, submitted by or on behalf of Deutsche Bank AG New York Branch, with respect to its daily short and net short positions in silver / silver derivatives. -CTFC Form 102 and CFTC Form 40, submitted by or on behalf of Deutsche Bank AG, with respect to its daily short and net short positions in silver / silver derivatives.	08/31/2020	Other Reasons - No records
20-00159-FOIA	08/26/2020	Open futures and option positions of individual traders/firms that are classified as "commercials" on the Commitment of Traders Reports for all commodities from 1993 to 2018. It would be tremendously helpful if I could be provided the identifying information of the traders/firms, e.g. gvkey, cusip, cik or ticker. If there is any restriction on the volume of data that can be provided, please let me know if obtaining a subset of the data is feasible.	08/28/2020	Denied in Full
20-00160-FOIA	08/28/2020	This is a Test	08/31/2020	Other Reasons - No records
20-00161-FOIA	09/01/2020	For the following time periods: from March 30, 2012 to May 30, 2012 and from February 1, 2013 to April 30, 2013: CTFC Form 102 and CFTC Form 40, submitted by or on behalf of any of the following, with respect to its / their daily short and net short positions in silver / silver derivatives. Deutsche Bank AG [Frankfurt, NFA ID 0210678] Deutsche Bank AG [London, NFA ID 0387357] Deutsche Bank AG London [London, NFA ID 0387357] Deutsche Bank AG [Sydney, NFA ID 0259041] Deutsche Bank Aktiengesellschaft Sydney [NFA ID 0259041] Deutsche Bank AG New York Branch [NFA ID 0244137] Deutsche Bank Americas Holding Corp. [NFA ID 0241643] Deutsche Bank Americas Holding Corp. [NFA ID 0474791] Deutsche Bank and Trust Co. Americas [NFA ID 0487913] Deutsche Bank Australia Limited [NFA ID 0250653] Deutsche Bank Australia Limited [NFA ID 0246484] Deutsche Bank Canada [NFA ID 0285290] Deutsche Bank Capital Corporation [NFA ID 0210600] Deutsche Bank Corretora de Valores S. A. [NFA ID 0431516] Deutsche Bank Futures Corporation [NFA ID 0259561] Deutsche Bank Futures, Inc. [NFA ID 0259561] Deutsche Bank Group [NFA ID 0370320] Deutsche Bank International Limited [NFA ID 0404488] Deutsche Bank Investment [NFA ID F003963] Deutsche Bank National Trust Company [NFA ID 0455419] Deutsche Bank Securities Corporation [NFA ID 0210600] Deutsche Bank Securities, Inc. [NFA ID 0210600] Deutsche Bank Sociedad Anonima Espanola [NFA ID 0265440] Deutsche Bank Trust Co. Americas [NFA ID 0487110] Deutsche Bank Trust Company Americas [NFA ID 0385509] Deutsche Bank Trust Corporation [NFA ID 0052305]	09/10/2020	Other Reasons - No records
20-00162-FOIA	09/01/2020	[1] For the following time periods: May 1, 2012 to May 16, 2012 & April 1, 2013 to April 17, 2013: CTFC Form 102 and CFTC Form 40, submitted by or on behalf of Deutsche Bank Securities Corporation (aka Deutsche Bank Securities, Inc.), with respect to its daily short and net short positions in silver / silver derivatives. [2] For the following time periods: May 1, 2012 to May 16, 2012 & April 1, 2013 to April 17, 2013: CTFC Form 102 and CFTC Form 40, submitted by or on behalf of Deutsche Bank AG London, with respect to its daily short and net short positions in silver / silver derivatives. [3] For the following time periods: May 1, 2012 to May 16, 2012 & April 1, 2013 to April 17, 2013: CTFC Form 102 and CFTC Form 40, submitted by or on behalf of Deutsche Bank International Limited, with respect to its daily short and net short positions in silver / silver derivatives.	09/10/2020	Other Reasons - No records
20-00163-FOIA	09/02/2020	NFA #242135 a copy of the Form 8-R application and related information on file with NFA for Armand Nakkab ("Nakkab")	09/02/2020	Granted/Denied in Part
20-00164-FOIA	08/27/2020	Records regarding the description and results of the March 2016 Tabletop Exercise run by DCR, in conjunction with FRB, Treasury Dept, FDIC, SEC, OCC and FSOC. Also, records regarding the description and results of the 2017 Tabletop Exercise run by DCR with many of the same participants.	03/12/2021	Granted/Denied in Part
20-00165-FOIA	09/02/2020	Mr. Santomero was a principal on CBNA, #187177. I need a copy of all disclosure questions AND the details of each disclosure (criminal, regulatory, etc.) on his record	09/15/2020	Other Reasons - Request withdrawn
20-00166-FOIA	09/03/2020	1. Copies of any and all US Commodity Futures Trading Commission records showing Apple's historical stock prices from the mid-1980s to present; and 2. Copies of any and all US Commodity Futures Trading Commission records showing Facebook's historical stock prices from 2008 to present; and 3. Copies of any and all US Commodity Futures Trading Commission records showing NASDAQ's historical stock prices from the 1970s to present; and 4 I would like a written explanation as well as detailed information and any and all documents pertaining to how the US Currency and the Stocks traded on the US Markets are currently being paired or aligned with gold, gold prices, gold futures, gold commodities, gold reserves or were converted into non-fiat currencies. (I believe this process started around 2014).	09/04/2020	Other Reasons - Not a proper FOIA request for some other reason

20-00006-CONS	09/03/2020	FOIPA Request of (b)(6) FBI FOIPA Request Number: 1370106-002, Subject: Black Diamond Ponzi Scheme (January 1, 2009-December 31, 2010)(b)(6)	09/03/2020	Granted/Denied in Part - Referrals
20-00167-FOIA	09/03/2020	Any information that you may have on file or access to on my case. (Date Range for Record Search: From 4/9/2015 To 3/31/2020)	09/04/2020	Other Reasons - Not a proper FOIA request for some other reason
20-00168-FOIA	09/04/2020	We would like to request historical on Maintenance Margin Requirements and Initial Margin Requirements for all CFTC-regulated Futures Contracts that were traded on an exchange, for the full range of historical data that is possible. The data should include (in some form) the date, the contract name and expiry, the maintenance margin, the initial margin, and the currency in which the margin is denominated. From searching past FOIA requests, we believe this to be very similar to a past FOIA request made in Septembter, 2011: 11-00107-FOIA.	09/30/2020	Other Reasons - Public Records
20-00169-FOIA	09/09/2020	Industry-level open futures and option positions for traders classified as "commercials" on the Commitment of Traders Reports for all commodities from 1993 to 2020. Namely, a breakdown of aggregate commodity-level "commercials" open positions by SIC/NAICS industries. Please let me know if any clarification about the request is needed. And if there is any restriction on the volume of data that can be provided, please let me know if obtaining a subset of the data is feasible. (Date Range for Record Search: From 9/9/1993 To 9/9/2020)	09/10/2020	Other Reasons - No records
20-00170-FOIA	09/10/2020	For the following time periods: May 1, 2012 to May 16, 2012 & April 1, 2013 to April 17, 2013: CFTC Form 102 and CFTC Form 40, submitted by or on behalf of UBS Securities LLC, with respect to its daily short and net short positions in silver / silver derivatives.	09/16/2020	Other Reasons - No records
20-00005-AP	09/03/2020	Copy of the SIDCO Examination Handbook/Manual. If no record exists, a copy of the DCO Handbook or manual.	09/21/2020	Completely Affirmed
20-00171-FOIA	09/15/2020	Form 8R and all disclosure matters for Emily Portney	09/18/2020	Granted in Full
20-00172-FOIA	09/17/2020	I am trying to locate comment letters for 92-004. Here is the link - https://www.cftc.gov/foia/commentarchive2/foi92--004_1.htm	09/17/2020	Other Reasons - Request withdrawn
20-00173-FOIA	09/18/2020	This is a TEST	09/18/2020	Other Reasons - Not a proper FOIA request for some other reason
20-00007-CONS	09/18/2020	The Department of Treasury (Treasury) is currently in litigation with American Oversight, who is seeking to obtain Treasury's senior leader calendar detailed entries. During our review, we located two (2) pages that hold your agency's equities	09/18/2020	Granted in Full
20-00174-FOIA	09/24/2020	I am looking for any meetings between former Commissioner J. Christopher Giancarlo and current commissioners at the CFTC that have taken place between January 1, 2020 and the present day. The easiest way to identify them would, I believe, be to search the agendas of the commissioners. I would also like any agendas, notes, or minutes available from any meetings found. (Date Range for Record Search: From 1/1/2020 To 9/24/2020)	11/10/2020	Granted in Full
21-00001-FOIA	10/01/2020	Electronic communication (email, text or other format) from James Vorley dated 16 April 2013. [Note: James Vorley was at the time employed by Deutsche Bank AG as a precious metals trader (gold, silver, palladium and related financial derivatives).] The document in question is believed to consist of 3 pages and to have been part of the documents provided by Deutsche Bank AG to CFTC as part of CFTC's investigations in CFTC Docket No. 18-06 (29 January 2018), against Deutsche Bank AG and Deutsche Bank Securities, Inc. (now known as Deutsche Bank Securities LLC). On 25 September 2020, Mr. Vorley was found guilty by a Chicago federal jury of fraudulent and manipulative trading practices involving publicly-traded precious metals futures contracts. Case No. 1:18-cr-00035-1 (US District Court, MD Illinois). https://www.justice.gov/opa/pr/two-former-deutsche-bank-traders-convicted-engaging-deceptive-and-manipulative-trading	10/15/2020	Denied in Full

Total No of Requests : 190