



CFTC FOIA Office

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

Report Date: 05/03/2023

Requests Report

Request ID	Received Date	Request Description	Final Disposition
10-00001-FOIA	10/2/2009	Request for a address for (b)(6) who is a employee who hit me and did damages to my general health.	Other Reasons - No records
10-00002-FOIA	10/13/2009	Request for information on a passport for Stanley Ann Dunham, Stanley Ann Obama, Ann Obama, Ann Dunham.	Other Reasons - No records
10-00003-FOIA	10/14/2009	Request for Sentinel Managment Group, Inc.'s annual financial statement for the year ending 12/31/2006.	Granted/Denied in Part
10-00004-FOIA	10/15/2009	Request for information regarding Michael F. Payne and Futronix Trading Ltd. and related entities.	Other Reasons - No records
10-00005-FOIA	10/15/2009	Request for a written statement stating the CFTC's rationale on why speculation is necessary in physically-settled futures, and why commercial participants by themselves are not capable of providing a valid market in physically-settled futures and any communications between any members of the CFTC and futures market participants concerning potential CFTC involvement in limiting speculation in physically-settled futures.	Granted in Full
10-00006-FOIA	10/15/2009	Request for various witness testimony submitted in FERC Docket No. IN07-26-000, involving Amaranth Advisors, LLC.	Denied in Full
10-00007-FOIA	10/19/2009	Request for the CBOT's 10/15/2009 or 10/16/2009 rule interpretation filing under Part 40.6 of the CFTC regulations regarding CBOT Rule 538.	Granted in Full
10-00008-FOIA	10/19/2009	Request for various frequently requested FOIAs.	Granted in Full
10-00009-FOIA	10/20/2009	Request for informational material.	Granted in Full
16-00125-FOIA	9/20/2016	All data of trading volumes and market share in the secondary cash Treasury market, on both Dealer-to-Customer and Interdealer platforms, collected as part of the "Joint Staff Report: The U.S. Treasury Market on October 15, 2014"	Denied in Full
16-00126-FOIA	9/21/2016	FOIA logs of the Commodity Futures Trading Commission for the month of August 2016.	Granted in Full
17-00001-FOIA	10/3/2016	American Cotton Shipper's earlier comment letter that was referenced in a supplemental coment letter dated March 22, 2000	Granted in Full
17-00002-FOIA	10/6/2016	Alphabetical listing of all current CFTC employees (no contractors) showing Last Name, First Name, Title, Division, Telephone Number and City.	Granted in Full
17-00003-FOIA	10/7/2016	Archived Comment Letters	Granted in Full
17-00005-FOIA	10/12/2016	Copies of all chief compliance officer annual reports submitted to the CFTC from 2012 through 2014 from Newedge (now part of Societe Generale), including information on these records sufficient to show the identity of the Newedge compliance official who signed and certified them.	Denied in Full
17-00004-FOIA	10/17/2016	Discovery Capital Management LLC	Denied in Full
17-00007-FOIA	10/18/2016	Request for the 3/31/86 IFR for Robbins Futures Inc. (Date Range for Record Search: From 03/31/1986 To 03/31/1986)	Other Reasons - No records
17-00006-FOIA	10/18/2016	copy of every special call issued by the CFTC since December 31 2013	Other Reasons - Request withdrawn
17-00008-FOIA	10/18/2016	Request for emails to and from former CFTC Chairman Gensler and JP Morgan CEO James Dimon or Goldman Sachs CEO Lloyf Blankfein. (Date Range for Record Search: From 05/26/2009 To 01/03/2014)	Other Reasons - No records
17-00009-FOIA	10/19/2016	Request for results of (b)(6) disciplinay information - criminal disclosures	Granted/Denied in Part
17-00010-FOIA	10/21/2016	A copy of the Performance Audit Exam of the CFTC's Policies and Procedures For Reviewing Registrants' Cyber Security Policies, including the management response in the report's appendix	Granted in Full
17-00011-FOIA	10/21/2016	Copies of any and all transcripts of depositions taken by CFTC attorneys of executives at Newedge USA LLC, now known as SG Americas LLC, in connection with the now-closed investigation into illegal wash trades and related upervisory failures (See CFTC order dated Sept 28) and a copy of the report of investigation into the now-closed case	Denied in Full
17-00001-AP	10/21/2016	Appeal for denial of FOIA request 16-00103-FOIA	Completely Affirmed
17-00012-FOIA	10/24/2016	All documents filed by (b)(6) including any correspondence or formal complaints with the CFTC. (Date Range for Record Search: From 09/01/2016 To 10/23/2016)	Other Reasons - No records
17-00013-FOIA	10/24/2016	Any and all records under (b)(6) name and/or identifier assigned to his name.	Other Reasons - Fec-related reason
15-00068-FOIA	2/3/2015	A list or schedule of all external meetings held with staff from the division of Clearing and Risk during the year 2014, including the date, time, location and participants in the meetings.	Other Reasons - No records
15-00069-FOIA	2/3/2015	Request a list or schedule of all external meetings held with staff from the Division of Enforcement during the year 2014, including the date, time, location and participants in the meetings.	Granted in Full
15-00070-FOIA	2/3/2015	A list or schedule of all external meetings held with staff from the Division of Market Oversight during the year 2014, including the date, time, location and participants in the meetings.	Other Reasons - No records

15-00071-FOIA	2/3/2015	A list or schedule of all external meetings held with staff from the Office of the Inspector General during the year 2014, including the date, time, location and participants in the meetings.	Other Reasons - No records
15-00072-FOIA	2/3/2015	A list or schedule of all external meetings held with staff from the Office of Public Affairs during the year 2014, including the date, time, location and participants in the meetings.	Other Reasons - No records
15-00073-FOIA	2/26/2015	All records provided to the National Futures Association since 2005 about the association's individual Associate members.	Other Reasons - Not a proper FOIA request for some other reason
15-00002-REF	2/6/2015	Request for copies of any complaints submitted to CIGIE, or any audits, inspections or investigations conducted into Roy Lavik.	Other Reasons - Duplicate Request
15-00074-FOIA	2/13/2015	Information and records of CFTC investigations into the manipulation of prices for platinum and palladium and derivative financial products	Denied in Full
17-00014-FOIA	10/25/2016	An unredacted copy of CFTC Letter No. 05-02, issued 12/10/04.	Other Reasons - Request withdrawn
17-00015-FOIA	11/1/2016	Information on where FFIC banks, such as Chase and Bridgeview Bank, work together. Information on how Kayako and all non-profits help the community especially in Chicago IL. Also, information on how The Chicago School of Professional Psychology uses all their money as a "non for profit"	Other Reasons - Request withdrawn
17-00016-FOIA	11/2/2016	Information or records regarding Ziky Joseph Smith and/or Morgan Smith Commodities, and/or Smith Morgan Commodities, from 1972-1982. (Date Range for Record Search: From 01/01/1972 To 12/31/1982)	Granted in Full
17-00017-FOIA	11/7/2016	A copy of the administrative complaint the CFTC issued against the Hunt Brothers concerning manipulation in the silver market. The complaint was issued February 28, 1986.	Granted/Denied in Part
17-00018-FOIA	11/3/2016	Request for a copy of Chairman Gary Genslers resume, resignation letter, and first and last SF-50	Other Reasons - No records
17-00019-FOIA	11/8/2016	A copy of the Freedom of Information Act Appeals Log for the CFTC for the time period since 2009	Granted in Full
17-00020-FOIA	11/9/2016	All records related to civil case number 3:11-cv-023-RJC-DCK in the Western District of Carolina	Other Reasons - Fee-related reason
17-00021-FOIA	11/14/2016	All briefing materials and information relating to the Presidential transition prepared by CFTC for the Trump administration's Agency Review Teams and incoming political appointees.	Granted in Full
17-00022-FOIA	11/17/2016	A copy of each letter/correspondence sent by CFTC's Office of Inspector General (OIG) to the Department of the Treasury Office of Inspector General in 2016. (Date Range for Record Search: From 01/01/2016 To 11/17/2016)	Other Reasons - No records
17-00023-FOIA	11/21/2016	All records, from Jan. 1, 2013 to present day, gathered by the CFTC related to violations for nomination procedures on Enbridge Inc's Mainline system and TransCanada Corp's Keystone pipeline, which bring oil from Canada into the United States, including any responses from the Commission. (Date Range for Record Search: From 01/01/2013 To 11/21/2016)	Other Reasons - No records
17-00024-FOIA	11/22/2016	Copies of emails and letters sent by Representative Jeb Hensarling to the CFTC dating from January 1, 2013, through November 22, 2016. (Date Range for Record Search: From 01/01/2013 To 11/22/2016)	Denied in Full
17-00025-FOIA	11/28/2016	Any and all current contracts signed between the agency above and Lexis Nexis, (b)(6), Lexis, Lexis-Nexis, and/or Lexis/Nexis, for online legal research products and/or solutions. This request includes a copy of the original contract, any other contract-related documents, RFP information (if available), and any amendments. The key information is the current products under contract, the total monthly or annual contract value, and expiration date of the agreement.	Granted/Denied in Part
17-00001-CONS	11/28/2016	Consultation Request for FOIA/PA Request (b)(6) Regarding Coral Energy Resources	Granted/Denied in Part
17-00026-FOIA	12/1/2016	Copies of the FOIA requests made to the CFTC between Jan. 1, 2015 and Dec. 1, 2016 and which mention "Trump" or "Donald Trump," as well as responsive records provided. (Date Range for Record Search: From 01/01/2015 To 12/01/2016)	Granted/Denied in Part
17-00027-FOIA	12/1/2016	Copies of any and all cases in which Paul Atkins or his consulting firm Patomak Global Partners LLC was selected as an independent consultant or monitor at a CFTC-regulated firm in connection with a commission enforcement action.	Other Reasons - No records
17-00034-FOIA	12/9/2016	A copy of the complaint from this case CFTC vs Hunt Brothers, ContiCommodity filed in 1985. The case numbers are CFTC No. 85-12 (C.F.T.C.), CFTC No. 86-36.	Granted/Denied in Part
17-00035-FOIA	12/13/2016	Copies of all documents that CME Group and any of its entities or representatives submitted to the Commodity Futures Trading Commission from Jan. 1, 2011, to Dec. 13, 2016, seeking confidential treatment of rules or rule certification filings. I am also seeking copies of all CFTC documents--including letters, emails and internal reports--regarding requests CME Group and its representatives made from Jan. 1, 2011, to Dec. 13, 2016, seeking confidential treatment of rules or rule certification filings. I am also seeking a copy of a CME Group supplemental rule certification filing known as Submission No. 16-544S, including an appendix known as Appendix A. (Date Range for Record Search: From 01/01/2011 To 12/13/2016)	Other Reasons - Request withdrawn
17-00036-FOIA	12/27/2016	A copy or printout of the list of CFTC OIG investigations closed during calendar year 2015 and calendar year 2016. (Date Range for Record Search: From 01/01/2015 To 12/25/2016)	Granted in Full
17-00002-AP	12/20/2016	Appeal of 17-00020-FOIA	Completely Affirmed
17-00037-FOIA	1/5/2017	Information, records, and/or testimony concerning (or produced in connection with) the following proceeding: CFTC Docket No. 81-20 (Viola).	Granted/Denied in Part
17-00038-FOIA	1/5/2017	The name, title, and work email and mailing address for persons in the following positions: 1. Human Relations Directors 2. Civil Rights Directors 3. Equal Employment Opportunity Directors 4. Labor Relations Directors 5. Workers' Compensation Directors 6. Training Directors 7. Within Personnel Offices/Employee Relations Offices/Labor Relations Offices a. Chiefs of Staffing/Classification b. Chiefs of Labor Relations c. Chiefs of Employee Relations 8. Within General Counsel Offices, Assistant or Deputy General Counsels for: a. Litigation b. Administrative Law c. EEO/Civil Rights d. Labor and Employment e. Chief Counsel for the Office of the Inspector General	Granted in Full
10-00010-FOIA	10/20/2009	Request for NYMEX Crude Oil (Contract_Market_Code_067651) records from the Market Futures Day table in ISS maintained by DMO.	Denied in Full
10-00011-FOIA	10/22/2009	Request for a list of CFTC credit card holders.	Granted in Full
10-00012-FOIA	10/30/2009	Request for informational material.	Granted in Full
10-00013-FOIA	10/29/2009	Request for all internal memos, e-mails, reports, economic analysis and other documents from January 1, 2008 through October 31, 2009 in which staff discuss whether the index investment and swap data, Commitment of Traders reports, any/or internal CFTC surveillance data demonstrate a correlation and/or causation between excessive speculation and prices across each of the commodity markets regulated by the CFTC including, but not limited to, crude oil, wheat, cotton and silver.	Granted/Denied in Part
10-00014-FOIA	10/23/2009	Request for financial statements for JP Morgan Incubator Cayman Fund LP and JP Morgan Incubator LP.	Granted/Denied in Part

10-00015-FOIA	10/29/2009	Request for Complaint No.: (b)(6) and EEOC by (b)(6) on July 2, 2008 and (b)(6) on September 21, 2005	complaint of discrimination filed with DFEH	Other Reasons - Not an agency record
10-00017-FOIA	11/5/2009	Request for entire database containing information related in anyway to travel by CFTC employees and financed by CFTC.		Other Reasons - No records
10-00018-FOIA	11/5/2009	Request for all material developed in CFTC's investigation of (b)(6) in particular materials which would relate to any purported claims of the CFTC that (b)(6) committed perjury or lied.		Granted in Full
10-00019-FOIA	11/6/2009	Request for position descriptions of all grade 9 administrative assistants and staff assistants with their qualifications employed at the CFTC.		Granted/Denied in Part
10-00020-FOIA	11/13/2009	Request for non-public information on file with NFA for Barrett Christopher Brown.		Granted/Denied in Part
10-00021-FOIA	11/16/2009	Request for non-public information on file with NFA for AR Thane Ritchie.		Granted in Full
10-00022-FOIA	12/9/2009	Request for financial statements for various FCMs and Introducing Brokers.		Granted/Denied in Part
11-00001-FOIA	10/1/2010	Request for documents related to CFTC's previous investigation of Edward Sarvey and the lawsuit file by the CFTC (CFTC v. Sarvey, et al., No. 08 C 192) in the United States District Court for the Northern District of Illinois.		Granted/Denied in Part
10-00016-FOIA	10/30/2009	Request for informational material.		Granted in Full
11-00002-FOIA	10/1/2010	Request for all documents related to "the several specific steps" that White House Chief of Staff Rahm Emanuel and White House Counsel to the President Bob Bauer instructed your agency to take in a March 16, 2010 memo to all agency and department heads.		Granted in Full
11-00003-FOIA	10/7/2010	Request for tick data on E-mini SP500 futures from 1997 to 2009.		Denied in Full
11-00004-FOIA	10/7/2010	Request for documents relating to Soaring Phoenix.		Granted/Denied in Part
11-00005-FOIA	10/7/2010	Request for information, records, and/or testimony concerning, relating to, and/or produced in connection with the following proceeding: In the Matter of Rosenthal Collins Group, LLC, CFTC Docket No. 10-21.		Granted/Denied in Part
11-00006-FOIA	10/12/2010	Request for any document between the North American Derivatives Exchange ("Nadex") and the Chicago Mercantile Exchange Group Inc. or any of its subsidiaries.		Other Reasons - No records
11-00007-FOIA	10/14/2010	Request for any and all records of communication between CFTC and Mitchell Elias Daniels Jr., Piyush Jindal, Sarah Louise Palin, Timothy James Pawlenty, John Randolph Thune, Michael Dale Huckabee, Willard Mitt Romney, Newton Leroy Gingrich, and Haley Reeves Barbour.		Granted in Full
11-00009-FOIA	10/21/2010	Request for records, transcripts, depositions, investigative notes and oral and written communications between CFTC and outside parties pertaining to the matter of CFTC v. ConAgra Trade Group, CFTC Docket No. 10-14.		Granted/Denied in Part
11-00010-FOIA	10/21/2010	Request for names and titles of all the former listed principals and any former listed holding company(s) for Hedgepoint Partners LLC, NFA# 354007.		Other Reasons - Request withdrawn
11-00011-FOIA	10/21/2010	Request for information regarding Moore Capital Management LP, civil case number 10CV3617 from US District Court for the Southern District of New York, particularly whether CFTC has a current investigation against Moore (more current than CFTC Docket No. 10-09).		Other Reasons - Request withdrawn
11-00012-FOIA	10/22/2010	Request for information on (b)(6)		Other Reasons - No records
10-00023-FOIA	11/19/2009	REQUEST FOR CFTC REPORT PRODUCED FOR CONGRESS DURING THE PAST (5) YEARS AND ARE NOT POSTED ON CFTC.GOV.		Granted/Denied in Part
10-00025-FOIA	12/2/2009	REQUEST FOR THE DAILY LIST OF APPOINTMENTS FOR CHAIRMAN GARY GENSLER FROM HIS SWEARING IN DATE UNTIL THE PRESENT.		Granted in Full
10-00026-FOIA	12/1/2009	REQUEST FOR INCOMING LETTERS REGARDING CFTC LETTERS 95-103 AND 97.38.		Granted in Full
10-00027-FOIA	11/30/2009	REQUEST FOR INCOMING LETTERS REGARDING CFTC LETTERS 95-103 AND 97.38.		Granted in Full
10-00028-FOIA	12/2/2009	REQUEST FORWARDED FROM NFA FOR NON-PUBLIC DOCUMENTS FOR FOREX CAPITAL MARKETS LLC.		Granted/Denied in Part
10-00029-FOIA	12/3/2009	REQUEST CORRESPONDENCE BETWEEN CFTC PERSONNEL AND THE INDEPENDENT MONITOR ENGAGED BY BP PRODUCTS NORTH AMERICA INC. IN ACCORDANCE TO THE CONSENT ORDER FOR PERMANENT INJUNCTION AND ORDER RELIEF, DATED OCTOBER 25, 2007.		Granted/Denied in Part
10-00030-FOIA	12/3/2009	REQUEST FOR INCOMING CORRESPONDENCE ASSOCIATED WITH CFTC LETTERS NOS. 08-01, 06-27 AND 06-16.		Granted in Full
10-00031-FOIA	12/4/2009	REQUEST FOR A COPY OF A REQUEST SENT TO CFTC 10 YEARS AGO FROM REGIONAL TRANSMISSION OPERATOR PJM INTERCONNECTED INC.		Other Reasons - No records
10-00032-FOIA	12/8/2009	REQUESTING NO-ACTION LETTER FROM THE CFTC.		Other Reasons - No records
10-00032-FOIA	12/8/2009	REQUEST FOR CORRESPONDENCE BETWEEN CFTC AND THE OFFICE OF CHARLIE BASS; MIKE FITZPATRICK, STEVE CHABOT, AND STEVE PEARCE.		Other Reasons - No records
10-00033-FOIA	12/8/2009	REQUEST FOR LISTING OF TEN HIGHEST FINES IMPOSED BY CFTC BETWEEN 2000 AND 2008.		Granted in Full
10-00034-FOIA	12/10/2009	REQUEST FOR INFORMATION RELATING TO THE MILLER ACT BONDS CITED AT TITLE 48 OF THE CODE OF FEDERAL REGULATION, SECTION 53.228.		Other Reasons - No records
10-00035-FOIA	11/27/2009	REQUEST FOR A LOG OF CORRESPONDENCES SINCE JANUARY 2009 OF CURRENT MEMBERS OF THE HOUSE OF REPRESENTATIVES AND THE SENATE, EXCLUDING RECORDS OF CONSTITUENTS' CORRESPONDENCE.		Granted in Full
10-00036-FOIA	11/27/2009	REQUEST FOR RECORDS RELATED TO CFTC'S COMPLIANCE WITH 5 USC 2302(C), "PREVENT PROHIBITED PERSONNEL PRACTICES".		Granted in Full
10-00037-FOIA	12/10/2009	REQUEST FOR A LIST OF COMPANIES OR INDIVIDUALS THAT CFTC GRANTED WAIVERS OF STANDARD POSITION LIMITS ON CRUDE-OIL OPTIONS OR FUTURES AND LETTERS/DOCUMENTS GRANTING THE WAIVERS.		Denied in Full
10-00038-FOIA	12/10/2009	REQUEST FOR A LIST OF CFTC REGISTRANTS WHICH INCLUDE THE FOLLOWING FIELDS OF INFORMATION: NFA ID, NAME OF REGISTRANT, AND CRD/TARD NUMBER.		Other Reasons - Request withdrawn
10-00039-FOIA	11/23/2009	REQUEST FOR CFTC INFORMATIONAL MATERIAL.		Granted in Full
10-00040-FOIA	12/17/2009	REQUEST FOR REFCO LLC'S 1-FR FOR 10/2005.		Granted in Full
10-00041-FOIA	12/22/2009	REQUEST FOR THE TRANSCRIPT, MINUTES, SLIDES AND OTHER MATERIAL FROM DECEMBER 9TH MEETING OF THE CFTC GLOBAL MARKETS ADVISORY COMMITTEE.		Granted in Full
10-00042-FOIA	12/24/2009	REQUEST FOR 1-FR'S FOR REFCO LLC AND CARGILL INVESTOR SERVICES INC.		Granted in Full
10-00043-FOIA	12/3/2009	REQUEST FOR A LIST OF FUTURE REGISTRATIONS PER YEAR FROM 1974 - 2008.		Granted in Full

10-00044-FOIA	12/30/2009	REQUEST FOR EVERY DRAFT PROPOSAL CIRCULATED INTERNALLY CONCERNING THE PLAN TO IMPOSE POSITION LIMITS ON ENERGY FUTURES PRODUCTS AND/OR OTHER COMMODITIES OF FINITE SUPPLY AND ALL COMMENTS SUBMITTED BY COMMISSIONERS AND STAFF IN RESPONSE TO EACH DRAFT.	Granted/Denied in Part
10-00045-FOIA	12/31/2009	REQUEST FOR INTERPRETATIVE LETTER NO. 86-02.	Other Reasons - No records
10-00001-FPA	1/7/2010	REQUEST FOR ANY INFORMATION THAT THE AGENCY HAS ON (b)(6)	Other Reasons - No records
10-00047-FOIA	1/7/2010	REQUEST FOR INFORMATION REGARDING COMPLAINTS, INVESTIGATIONS, VIOLATIONS, SANCTIONS, OR ENFORCEMENT ACTIONS RELATED TO: METACAPITAL MANAGEMENT LP, METACAPITAL MANAGEMENT LLC, AND DEEPAK M. NARULA.	Other Reasons - No records
10-00048-FOIA	1/5/2010	REQUEST FOR SECURITY BACKGROUND INVESTIGATION FOR THE REQUESTER.	Other Reasons - Not an agency record
10-00049-FOIA	1/8/2010	REQUEST FOR FILE NUMBER RF02-001	Granted in Full
10-00050-FOIA	1/8/2010	REQUEST FOR A LIST OF PUBLICATIONS AVAILABLE.	Granted in Full
10-00052-FOIA	1/14/2010	REQUEST FOR GUIDELINES THAT CMS PROVIDED TO WPS FOR RECONSIDERATIONS AND APPEALS.	Other Reasons - Not an agency record
10-00053-FOIA	1/19/2010	REQUEST FOR RECYCLING CONTRACT FROM NY MUNICIPALITIES.	Other Reasons - Not an agency record
10-00054-FOIA	1/19/2010	REQUEST ALL CORRESPONDENCE BETWEEN CFTC AND OTHER US OR FOREIGN REGULATORY AGENCY CONCERNING OR RELATING TO SUPERFUND.	Granted/Denied in Part
10-00055-FOIA	1/25/2010	REQUEST FOR ALL MATERIAL RELATED TO INTRADE, THE INTRADE PREDICTION MARKET, INTRADE THE PREDICTION MARKET LIMITED, TRADESPORTS LTD, WWW.INTRADE.COM, JOHN DELANEY, CARL WOLFENDEN, AND INTRADE.COM.	Granted/Denied in Part
11-00014-FOIA	11/2/2010	Request for information relied on by the CFTC in its Order Instituting Proceedings Making Findings and Imposing Remedial Sanctions dated November 13, 2009, In the Matter of EMF Financial Products LLC, Docket No. 10-02; Information concerning: the trading and expiration of the September 2005 10-year Treasury Note Futures Contract traded on CBOT, the trading of the cheapest-to-deliver note underlying the September Contract, information concerning any deliveries on the September Contract, and information concerning communications of EMF Financial Products LLC relating to the September Contract of the CTR underlying the September Contract.	Other Reasons - Request withdrawn
10-00057-FOIA	1/21/2010	Request for information or records relating to MF Global, Ltd.	Denied in Full
10-00058-FOIA	2/3/2010	Request for information regarding FDA 510(k) K093520.	Other Reasons - No records
10-00059-FOIA	2/5/2010	Request for CFTC order entered on September 27, 2010 in the enforcement case against Andrew Machata and Rolling Meadow Ranch, Inc. as described in CFTC Press Release 5237-06.	Granted in Full
10-00060-FOIA	2/5/2010	Request for various frequent FOIAs regarding the application of the Island Futures Exchange for Designation as a Contract Market.	Granted in Full
10-00061-FOIA	2/9/2010	Request for market data for CME Eurodollar futures contracts exchanged on the CME floor and Globex from 2007-2009, CTR data or time and sales data.	Granted/Denied in Part
10-00062-FOIA	2/12/2010	REQUEST FOR RECORDS RELATED TO ELX FUTURES, LP'S REQUEST FOR APPROVAL OF AMENDMENT TO RULE IV-15A; SUBMISSION 10/20/09 REQUESTING A STAY; SUPPLEMENTAL FILINGS, 11/12/09; LETTER, 1/4/2010; OTHER COMMUNICATION/MEETING WITH ELX; ELX RULE; NOTICE RA0907-1	Granted/Denied in Part
11-00015-FOIA	10/29/2010	Request for any and all purchase orders, delivery orders, and/or contracts entered into within the past ten years where CFTC and Verizon Communications Inc. were parties.	Granted in Full
10-00063-FOIA	2/19/2010	Request forwarded from NFA for information regarding Michael Weld Clark, NFA ID 203368.	Granted/Denied in Part
10-00064-FOIA	2/22/2010	Request for photos made when the RAAP was built in Dublin VA before WWI.	Other Reasons - No records
10-00065-FOIA	3/2/2010	REQUEST FOR ANY AND ALL RECORDS OF COMMUNICATIONS BETWEEN CFTC & THE FOLLOWING GOVERNMENT OFFICIALS: MITCHELL DANIELS JR, PIYUSH JINDAL, SARAH PALIN, TIMOTHY PAWLENTY, JOHN THUNE, MICHAEL HUCKABEE, AND WILLARD ROMNEY AND THEIR OFFICES.	Other Reasons - Request withdrawn
10-00066-FOIA	3/2/2010	REQUEST FOR INFORMATIONAL MATERIAL.	Granted in Full
10-00067-FOIA	3/2/2010	REQUEST FOR INFORMATIONAL MATERIAL.	Granted in Full
10-00068-FOIA	2/25/2010	REQUEST FOR ALL MATERIAL SUBMITTED BY MEDIA DERIVATIVES INC IN CONNECTION WITH ITS APPLICATION TO BE DESIGNATED AS A CONTRACT MARKET, SEPTEMBER 11 & 25, 2009.	Granted/Denied in Part
10-00069-FOIA	2/25/2010	REQUESTING COPY OF THE MOST RECENT SF-2, US GOVERNMENT LEASE FOR REAL PROPERTY, FOR THE CFTC DC OFFICE.	Other Reasons - Request withdrawn
10-00024-FOIA	11/19/2009	REQUEST 4.5 NOTICE FILINGS FOR VARIOUS ENTITIES PRIOR TO 1998.	Other Reasons - Request withdrawn
10-00070-FOIA	3/1/2010	REQUEST FOR DISCLOSURE DOCUMENTS FOR THE LAST 5 YEARS FOR DEKKER CAPITAL MANAGEMENT LLC, NFA 0345134 AND INCLINE INVESTMENT MANAGEMENT LLC, NFA 0418078.	Other Reasons - No records
10-00071-FOIA	3/1/2010	REQUEST FOR ALL EMPLOYEES AT THE CFTC UNDER THE SENIOR EXECUTIVE SERVICE AND CONTACT INFORMATION.	Other Reasons - No records
10-00072-FOIA	3/3/2010	REQUEST FOR ANY LETTERS ISSUED BY CFTC OR ITS STAFF AND THE RELATED INCOMING LETTERS TO WHICH THEY RESPOND, ADDRESSING THE ISSUE OF SO-CALLED PROPRIETARY TRADING SHOPS, ALSO KNOWN AS 'PRO SHOPS' AND PROPRIETARY ACCOUNTS DURING 2006 TO PRESENT.	Granted in Full
10-00073-FOIA	3/11/2010	REQUEST FOR THE MOST RECENT 1-FR FOR PEREGRINE FINANCIAL GROUP INC, VISION FINANCIAL MARKETS LLC, AND YORK BUSINESS ASSOCIATES LLC.	Granted/Denied in Part
10-00074-FOIA	3/4/2010	REQUEST FOR MEDICAID RECOVERY FROM JUNE 2002 THROUGH DECEMBER 2003.	Other Reasons - No records
10-00075-FOIA	3/5/2010	REQUEST FOR INFORMATION ON GENERAL ELECTRIC, PFIZER, MICROSOFT, AMAZON, CISCO.	Other Reasons - No records
10-00076-FOIA	3/5/2010	REQUEST FOR INFORMATION ON REGULATORY STOCK BROKERS AND THE TEST CALLED SERIES 7 FOR STOCK BROCKERS.	Other Reasons - No records
10-00077-FOIA	3/5/2010	REQUEST FOR AGENCY SPECIFIC REPORTS PREPARED BY THE TRANSITION TEAM AND THE TRANSITION REPORT PREPARED BY CFTC DURING NOVEMBER 2008 AND JANUARY 2009.	Other Reasons - No records
10-00078-FOIA	3/3/2010	REQUEST FOR THE LETTER DATED OCTOBER 6, 2009, WHICH ELX SAYS THE COMMISSION SENT TO IT IN CONJUNCTION WITH THE COMMISSION'S APPROVAL OF ITS FEE RULE.	Granted in Full
10-00080-FOIA	3/17/2010	REQUEST FOR THE ORGANIZATIONAL CHART FOR THE OFFICE OF THE CHIEF INFORMATION OFFICER.	Granted in Full

10-00081-FOIA	3/17/2010	REQUEST FILE NUMBER RF05-008, REFCO 3/2004 - 2/2005.	Granted in Full
10-00082-FOIA	3/19/2010	REQUEST FOR CBOT'S ADDRESS AND MATERIAL ON FIGURING OUT PROFIT ON CONTRACTS.	Granted in Full
10-00083-FOIA	3/19/2010	REQUEST (SUBPOENA) FORWARDED FROM NFA FOR NON-PUBLIC REGISTRATION DOCUMENTS ON FILE FOR CHRISTOPHER LLOYD BOURNE, GLOBEFX CLUB INC. AND JEREMY MUNSON GLOBE.	Granted/Denied in Part
10-00084-FOIA	3/22/2010	REQUEST FOR CORRESPONDENCE BETWEEN CFTC AND ANY MEMBER, COMMITTEE, OR EMPLOYEE OF CONGRESS RELATED TO ALL FINANCIAL REGULATORY REFORM PROPOSALS AND SUGGESTIONS FROM MARCH 1, 2008 AND PRESENT.	Granted in Full
10-00085-FOIA	3/29/2010	REQUEST FOR LICENSING INFORMATION.	Granted in Full
10-00086-FOIA	3/25/2010	REQUEST FOR CFTC ANNUAL REPORT FOR 1974 TO 1980.	Granted in Full
10-00087-FOIA	4/7/2010	REQUEST FOR ALL RECORDS THAT INCLUDE DATA ON OR SUMMARIES OF THE SEARCH WARRANTS SUBPOENAS AND COURT ORDERS SERVED ANNUALLY BY CFTC INVESTIGATORS AGAINST: GOOGLE, YAHOO!, MICROSOFT, AOL, FACEBOOK, TWITTER, AND MYSPACE.	Other Reasons - No records
10-00089-FOIA	4/13/2010	REQUEST FOR ALL INFORMATION OR RECORDS REGARDING MY APPLICATION TO THE CFTC CHIEF PRIVACY OFFICER POSITION.	Granted in Full
10-00090-FOIA	4/14/2010	REQUEST FOR RECORDS RELATING TO CFTC'S FOIA COMPLIANCE OFFICE'S UTILIZATION OF OUTSIDE LEGAL COUNSEL AND THE RESULTING COST WITH RESPECT TO MINORITY CONTRACTING, LIKE POLICIES RE RECRUITMENT, AFFIRMATIVE ACTION AND EQUAL OPPORTUNITY STATEMENT.	Other Reasons - No records
10-00091-FOIA	4/15/2010	REQUEST FOR INFORMATION REGARDING NYMEX'S ACCESS TRADING SYSTEM	Other Reasons - Request withdrawn
10-00092-FOIA	4/19/2010	REQUEST FOR ENTIRE FILE CONCERNING (b)(6) AND MAN FINANCIAL DBA MF GLOBAL INC.	Other Reasons - Request withdrawn
10-00093-FOIA	4/22/2010	REQUEST FOR A COPY OF THE LETTER DATED 10/10/89 FROM THE DIVISION OF TRADING AND MARKETING, REGARDING BANK GUARANTEE(S) TO COVER FORWARD PROFITS AND CLEARING EXPOSURES OF THE LONDON METAL EXCHANGE.	Granted in Full
10-00094-FOIA	4/22/2010	REQUEST FOR PUBLIC COPY OF A REPORT CALLED THE 1992 NYMEX ACCESS REPORTS REFERENCED WITHIN A CITATION ON A NOVEMBER 1994 REPORT WRITTEN BY MARY SHAPIRO ENTITLED "COMPUTERIZED TRADING"	Granted in Full
10-00095-FOIA	4/22/2010	REQUEST FOR ALL INFORMATION PERTAINING TO THE ETHICS CHARGES INVOLVING (b)(6) AND THE CFTC.	Denied in Full
10-00096-FOIA	4/27/2010	COPY OF THE BASIC AWARDED CONTRACT INCLUDING THE STATEMENT OF WORK FOR THE CONTRACT AWARDED FROM SOLICITATION #CFIT09S00080 UNDER THE PROFESSIONAL SERVICES FOR DEVELOPMENT OF CFTC'S TRADE SURVEILLANCE SYSTEM PROGRAM. CONTRACTING OFFICER WAS (b)(6)	Granted/Denied in Part
10-00097-FOIA	4/26/2010	REQUEST FOR RECORDS RELATING TO CFTC'S FOIA COMPLIANCE OFFICE'S UTILIZATION OF OUTSIDE LEGAL COUNSEL AND THE RESULTING COST, LIKE (PRIVATE LAW FIRM NAME, SUBJECT MATTER OF, COPIES OF AGREEMENTS, LEGAL FEES, NAMES OF CERTIFIED MINORITY).	Other Reasons - No records
10-00098-FOIA	4/29/2010	REQUEST FORWARDED FROM NFA FOR DOCUMENTS RELATED TO JAMES GERARD GLYNN, NFA#406841.	Granted in Full
10-00099-FOIA	4/29/2010	REQUEST FOR DOCUMENTS RELATING TO THE USE OF COMMODITIES MARKETS FOR THE PURPOSE OF MONEY-LAUNDERING AND OR TAX EVASION SINCE 2007.	Other Reasons - Request withdrawn
10-00079-FOIA	3/11/2010	REQUEST FOR CONTRACT SPECIFICATIONS FOR ANY COMMODITIES CONTRACTS THAT INVOLVE PRECIOUS METALS.	Other Reasons - Request withdrawn
10-00100-FOIA	4/29/2010	REQUEST FOR VARIOUS INFORMATION REGARDING CFTC JOB OPENINGS 10-022, 10-023, AND 10-024 FUTURES TRADING INVESTIGATOR.	Granted in Full
10-00101-FOIA	5/4/2010	REQUEST FOR ALL DOCUMENTS PERTAINING TO THE INVESTIGATION/ACTION AGAINST MF GLOBAL FILED BY CFTC IN DECEMBER, 2009.	Denied in Full
10-00102-FOIA	5/7/2010	REQUEST FOR DATA REGARDING S&P500 INDEX FUTURES AUDIT TRAIL DATA FROM 2005 - 2009.	Denied in Full
10-00103-FOIA	5/4/2010	REQUEST FOR INFORMATION, RECORDS OR TESTIMONY RELATING AND PRODUCED IN: IN THE MATTER OF MOORE CAPITAL MANAGEMENT LLP, ET AL. DOCKET# 10-09.	Denied in Full
10-00104-FOIA	5/12/2010	REQUEST FOR MOST RECENT I-FR FOR PEREGRINE FINANCIAL GROUP, INC.	Granted/Denied in Part
10-00105-FOIA	5/13/2010	REQUEST FOR LOG OF FOIA REQUESTS FROM JANUARY 1, 2009 TO PRESENT.	Granted/Denied in Part
10-00106-FOIA	5/13/2010	REQUEST FOR ALL INFORMATION RELEASED TO DOW JONES (10-0013) INCLUDING INTERNAL DOCUMENTS REGARDING POSITION LIMITS DEBATE.	Granted/Denied in Part
10-00107-FOIA	5/13/2010	REQUEST FOR ALL DOCUMENTS REGARDING CFTC DOCKET NO. 10-10 AND 10-11, AGAINST MORGAN STANLEY AND UBS SECURITIES LLC	Denied in Full
10-00108-FOIA	5/19/2010	REQUEST FOR ACUVEST INC. AND PEREGRINE FINANCIAL GROUP INC.'S I-FR-JB AND GUARANTEE AGREEMENTS FOR THE YEARS 2004 - 2009.	Granted/Denied in Part
10-00109-FOIA	5/19/2010	REQUEST FOR THE CONSENT ORDER BY WELLS FARGO BANK DATED ON OR ABOUT NOVEMBER 19, 1987 IN THE CENTRAL DISTRICT OF CALIFORNIA CASE NO. 87-07792	Granted in Full
10-00110-FOIA	5/21/2010	REQUEST FOR THE MINUTES OF THE AGRICULTURAL ADVISORY COMMITTEE MEETINGS FOR THE LAST TWO YEARS.	Granted in Full
10-00111-FOIA	5/21/2010	CFTC RESEARCH PROJECT THAT STUDIES WHETHER OR NOT THE BEHAVIOR OF CRUDE SPREADS OVER THE PAST SEVERAL YRS WAS RELATED TO POSITIONS IN WEST TEXAS INTERMEDIATE CRUDE FUTURES POSITIONS OR OIL STORAGE ISSUES AT CUSHING IN CFTC MEMO TO TIMOTHY GEITHNER 8/21/09	Other Reasons - No records
10-00112-FOIA	5/25/2010	REQUEST FOR RECORDS RELATED TO THE VOLATILE TRADING ACTIVITY THAT TOOK PLACE MAY 6, 2010.	Granted/Denied in Part
10-00113-FOIA	5/26/2010	REQUEST FOR DECISION IN THE MATTER OF PHILADELPHIA ALTERNATIVE ASSET MANAGEMENT LLC REGISTRANT, CFTC DOCKET NO. SD 08-05 DATE MARCH 6, 2009	Granted in Full
10-00114-FOIA	5/26/2010	REQUEST COPY OF REPORTS COMPLETED BY THE PROMONTORY FINANCIAL GROUP, HIRED TO PERFORM A REVIEW OF CFTC'S DMO AND SURVEILLANCE FUNCTIONS.	Granted/Denied in Part
11-00016-FOIA	11/8/2010	Request for all documents in connection with the action entitled In the Matter of Moore Capital Management LP, Moore Capital Advisors LLC and Moore Admisors Ltd. docket no. 10-09	Denied in Full
11-00017-FOIA	11/8/2010	Request for the March 13, 2009 Promontory Report sent to Sarah Lynch in response to FOIA No. 10-0114 on 10/28/2010.	Granted in Full
11-00018-FOIA	11/10/2010	Request for I-FR for Refco for the period of 3/1/2004 - 2/28/2005.	Granted in Full
11-00019-FOIA	11/12/2010	Request for all information in docket no 10-03 and 08-02.	Denied in Full
11-00020-FOIA	11/12/2010	Request for any information regarding an investigation and/or monitoring conducted by the CFTC regarding a possible COMEX silver futures and/or options market manipulation covering the time period January 1, 2008 to the present.	Denied in Full

11-00021-FOIA	11/16/2010	Request for copies of correspondence to the CFTC between January 1, 2010 - present from various US House Representatives.	Other Reasons - No records
11-00022-FOIA	11/11/2010	Request for correspondence sent to CFTC from members or staff of the US House and US Senate from June 1, 2010 - November 1, 2010.	Granted in Full
11-00023-FOIA	11/17/2010	Request for information for starting a commodity exchange.	Other Reasons - No records
11-00024-FOIA	11/19/2010	Request for the CFTC decision Docket No. 93-5 dated December 5, 1996	Other Reasons - Public Records
11-00025-FOIA	11/18/2010	Request for all data or information concerning or obtained in connection with any investigation of Farms.com Inc., Farms.com Risk Management Ltd., Victor Adevan and/or Maurizio.	Granted/Denied in Part
11-00013-FOIA	10/29/2010	Request for OIG information for 2005 - 2010.	Granted in Full
11-00026-FOIA	11/22/2010	Request for the CFTC OIG semiannual for the period ending September 30, 2005.	Other Reasons - Public Records
11-00027-FOIA	11/30/2010	Request for informational material.	Granted in Full
11-00028-FOIA	11/30/2010	Request for informational material.	Other Reasons - Public Records
10-00115-FOIA	5/27/2010	REQUEST FOR COPIES OF ALL INVESTIGATIVE DOCUMENTS RELATED TO THE CASE INVOLVING MORGAN STANLEY AND UBS WHO WERE FINED BY CFTC FOR CONCEALING A LARGE BLOCK OF CRUDE OIL TRADE ON 2/6/2009.	Granted/Denied in Part
10-00116-FOIA	6/2/2010	REQUEST FOR RECORDS REGARDING RAY OLSON AKA SOARING PHOENIX LLC OR MORGAN DETHOUARS OR JO RAE DIENHART FROM ANY BANK OR TRADING ACCOUNTS BEARING THESE NAMES, INCLUDING FIRST BANK OF COLORADO, HARRIS TRUST & SAVINGS BANK AND RIO BRITN.	Granted/Denied in Part
10-00117-FOIA	6/3/2010	REQUEST FOR THE "CONSENT" FILED BY WELLS FARGO BANK MENTIONED IN THE CONSENT ORDER BY WELLS FARGO BANK DATED ON OR ABOUT NOVEMBER 19, 1987.	Granted in Full
10-00118-FOIA	12/22/2009	REQUEST FOR COPIES OF ALL RECORDS RELATED IN ANY WAY - WITH THE EXCEPTION OF RECORDS COVERED BY MY REQUEST OF NOVEMBER 5, 2009 (10-0017) - TO TRAVEL BY CFTC EMPLOYEES AND/OR FINANCED BY CFTC SINCE JANUARY 1, 2009.	Granted/Denied in Part
10-00119-FOIA	6/4/2010	REQUEST FOR A REPORT TO COMMISSIONERS ON ISSUES RAISED IN CONNECTION WITH MOVIE BOX OFFICE FUTURES PREPARED BY RICK SHILTZ OR OTHER STAFF.	Other Reasons - No records
10-00120-FOIA	6/4/2010	Request for a memo from Wendy L. Gramm (former Chairperson) to Senator Patrick Leahy dated August 25, 1989.	Granted/Denied in Part
10-00121-FOIA	6/7/2010	REQUEST FOR ALL COMPLAINTS CONCERNING TRADING AND/OR MARKET PRACTICES AS THE CHICAGO CLIMATE FUTURE EXCHANGE; ANY INVESTIGATIVE SUBPOENAS ISSUED BY CFTC; AND ANY DISCLOSURE STATEMENTS FILED BY CCFX.	Denied in Full
10-00122-FOIA	6/9/2010	REQUEST FOR CANTOR FITZGERALD'S FILINGS RELATED TO EFFORTS TO CREATE A REGULATED, INTERNET-BASED EXCHANGE FOR DOMESTIC BOX OFFICE RECEIPT CONTRACTS (AKA MOVIE BOX OFFICE CONTRACTS).	Other Reasons - Request withdrawn
10-00123-FOIA	6/9/2010	REQUEST FOR ENTRY LEVEL PROFESSIONALS (LAWYERS, ECONOMIST, ACCOUNTANTS, AND EXAMINERS) SALARIES FOR THE PAST 20 YEARS.	Other Reasons - Request withdrawn
10-00124-FOIA	6/11/2010	REQUEST FOR ALL RESEARCH AND DOCUMENTATION PRODUCED/GATHERED IN RELATION TO TRADING ACTIVITY IN CRUDE OIL MARKETS ON SEPTEMBER 22, 2008 AND DAYS IMMEDIATELY PRIOR.	Granted/Denied in Part
10-00125-FOIA	6/15/2010	REQUEST FOR A LIST OF CREDIT CARD HOLDERS (NAME AND PHONE NUMBERS) WHO ARE AUTHORIZED TO BUY OFFICE SUPPLIES.	Granted in Full
10-00126-FOIA	6/1/2010	REQUEST FORWARDED FROM NFA FOR NON-PUBLIC DOCUMENTS REGARDING AMBER MAXWELL AND GARLON JAMES MAXWELL.	Granted/Denied in Part
10-00127-FOIA	6/23/2010	REQUEST FOR INFORMATION OR RECORDS REGARDING STEVE AGOPIAN OR AMERICAN FUTURES TRADING INC. SUBMITTED TO THE CFTC FROM JUNE 1, 2008 TO JUNE 23, 2010.	Granted/Denied in Part
10-00128-FOIA	6/28/2010	REQUEST FOR THE ERIS EXCHANGE LLC EXEMPT BOARD OF TRADE NOTIFICATION FILED WITH THE CFTC AS OF 2/4/2010 AND THE ACKNOWLEDGEMENT LETTER SENT BY CFTC ON 4/30/2010.	Granted in Full
10-00129-FOIA	7/8/2010	REQUEST FOR INFORMATIONAL MATERIAL.	Granted in Full
10-00130-FOIA	7/14/2010	REQUEST FOR INFORMATION REGARDING CFTC ACTION IN THE MATTER OF MOORE CAPITAL MANAGEMENT LP, MOORE CAPITAL ADVISORS, LLC AND MOORE ADVISORS LTD. CFTC DOCKET NO. 10-09.	Denied in Full
10-00131-FOIA	7/20/2010	REQUEST FOR ALL DOCUMENTS RELATING TO THE ORDER ISSUED BY CFTC ON JULY 27, 1995 AGAINST MG REFINING AND MARKETING, INC. AND MG FUTURES, INC.	Granted/Denied in Part
10-00132-FOIA	6/28/2010	REQUEST FOR THE COMPLAINT AND SETTLEMENT DECISION DATED NOVEMBER 2, 1993 IN THE CASE OF MCVEAN TRADING & INVESTMENT, DOCKET NO. 94-4 AS DESCRIBED IN CFTC RELEASE #3712-93.	Granted in Full
10-00133-FOIA	7/30/2010	REQUEST FOR EDUCATIONAL MATERIAL CONCERNING FUTURES AND COMMODITIES.	Granted in Full
10-00134-FOIA	7/29/2010	REQUEST FOR A LIST OF THE NAMES, GRADES AND YEARLY SALARIES OF ALL ATTORNEYS EMPLOYED BY THE CFTC AS OF 7/29/2010.	Granted in Full
10-00135-FOIA	8/5/2010	REQUEST FOR MATERIAL CONCERNING CFTC REPORT ENTITLED "STAFF REPORT ON COTTON FUTURES AND OPTION MARKET ACTIVITY DURING THE WEEK OF MARCH 3, 2008"	Granted/Denied in Part
10-00136-FOIA	8/13/2010	REQUEST FOR MOST RECENT DREDGE AND FILL PERMIT FOR MEADOW POINTE IN PASCO COUNTY.	Other Reasons - Not an agency record
10-00137-FOIA	8/18/2010	REQUEST FOR INFORMATION FOR THE FOLLOWING IN RESPONSE TO RFQ NO. CFIT-10-SO-9152: NAMES OF OTHER BIDS AND AMOUNTS BID; AMOUNT SUBMITTED BY OTHER BIDDERS; AND NAMES OF OTHER BIDDERS.	Granted/Denied in Part
10-00138-FOIA	8/17/2010	REQUEST FOR VARIOUS INFORMATION REGARDING (b)(6)	Granted in Full
10-00139-FOIA	8/19/2010	REQUEST FOR A COPY OF EACH ETHICS WAIVER PROVIDED AT THE CFTC SINCE JANUARY 1, 2001.	Other Reasons - No records
10-00001-REF	8/19/2010	REFERRAL FROM THE FBI FOR CFTC DOCUMENTS FOUND IN THE FBI'S FILES PERTAINING TO RELIANT RESOURCES INC & RELIANT ENERGY INC IN REGARDS TO THE INVESTIGATION AND PROSECUTION OF REPORTING BY RELIANT OF NATURAL GAS TRADES TO TRADE PRESS ENTITIES & INDIVIDUALS.	Denied in Full
10-00141-FOIA	8/20/2010	REQUEST FOR ANY SUBMISSIONS BY NYMEX OR CME REGARDING: NYMEX RULE 8.03; CME RULE408.C; NYMEX RULE 8.26; AND CME RULE 411.	Granted in Full
10-00142-FOIA	8/23/2010	REQUEST FOR REGISTRATION AND FILINGS FOR SHUTCO BROKERAGE AT THE CME FROM APRIL 1994 - JANUARY 1996, PARTICULARLY ANY SANCTIONS OR DISCIPLINARY ACTIONS AGAINST THE COMPANY OR ITS OFFICERS.	Other Reasons - No records
10-00143-FOIA	9/3/2010	REQUEST FORWARDED FROM NFA FOR REGISTRATION DOCUMENTS FOR CHARLES E. DAVIDSON, NFA# 198322.	Granted in Full
10-00144-FOIA	8/27/2010	Request all documents relating to any investigation into Larry M. Webman; Melvin Webman and Lyle Wexler in CFTC v. Webman, et al.	Other Reasons - Request withdrawn

10-00145-FOIA	8/31/2010	Request all public and non-public records for: Velocity Futures, LP or Velocity Futures, LLC (NFA ID #0317696); Jack Edward Earnest (NFA ID # 0317697) ; and Norbert Grune (NFA ID # 0038749)	Granted/Denied in Part
10-00146-FOIA	9/2/2010	Request Peregrine Financial Group Inc. Focus Reports or 1-FRs for the periods ended 12/31/09 and 7/31/10.	Granted/Denied in Part
10-00147-FOIA	9/2/2010	Request for Penson,GHCO Focus Reports or 1 FRs for the periods ended 12/31/09 and 7/31/10.	Granted/Denied in Part
10-00148-FOIA	9/2/2010	Request for documents issued from the CFTC (new or updated) between 4/1/09 - 8/31/2010: Employee Handbook, Personnel Instructions, Policies, Memoranda, Records, Management Directives & any additional employee manuals, guides, or arbitration awards	Granted in Full
10-00149-FOIA	9/3/2010	Request for FOIA log for August 2010.	Granted in Full
10-00150-FOIA	8/17/2010	FORWARD FROM NFA REQUEST FOR NON-PUBLIC INFORMATION FOR ALEXEI V. VHEKHLOV; PETTER KAMBOLIN; SYSTEMATIC ALPHA FUTURES; SYSTEMATIC ALPHA MANAGEMENT LLC; AND THOR ASSET MANAGEMENT INC.	Granted in Full
10-00151-FOIA	9/3/2010	REQUEST FOR INFORMATIONAL MATERIAL.	Granted in Full
10-00152-FOIA	9/7/2010	REQUEST ANY RECORDS OR REGISTRATIONS FOR (b)(6)	Other Reasons - No records
10-00153-FOIA	9/10/2010	REQUEST FOR ALL FOIA REQUEST WHERE THE REQUEST AROUSED THE SUSPICION OF THE PERSON OR AGENCY WHO RECEIVED THE FOIA AND WHERE THE REQUEST WAS PROVIDED TO AN INVESTIGATOR OR INVESTIGATIVE AGENCY TO DETERMINE IF THE REQUEST WAS FOR CRIMINAL PURPOSES	Other Reasons - No records
10-00154-FOIA	9/13/2010	REQUEST FOR A FINAL CONTRACTOR PERFORMANCE RATING REPORTS FOR THE MOST RECENTLY 3 YEAR PERIOD.	Other Reasons - No records
10-00155-FOIA	9/15/2010	REQUEST FOR INFORMATION REGARDING "QUOTE STUFFING" AND/OR "LATENCY ARBITRAGE" AND/OR FINRA CASE #20070076782-01 (TRILLIUM BROKERAGE) THAT WERE COMPILED SINCE JANUARY 1, 2009	Other Reasons - Request withdrawn
10-00156-FOIA	9/21/2010	REQUEST FORWARDED FROM THE SECRETARIAT'S OFFICE FOR AN ORDER DATE 2/9/83 IN REPARATION #77-269.	Granted in Full
10-00157-FOIA	9/23/2010	REQUEST FOR ALL NOTICES ISSUED TO EXCHANGES AND CLEARINGHOUSES DMO NOTIFYING THEY WERE IN VIOLATION OF A CORE PRINCIPLE(S), FROM WHEN CFMA OF 2000 TOOK EFFECT THROUGH SEPTEMBER 24, 2010; COPIES OF RESPONSES FROM ENTITIES SHOWING PROOF OF CORRECTIVE ACTION	Other Reasons - No records
10-00158-FOIA	9/29/2010	REQUEST FOR PASSPORT INFORMATION.	Other Reasons - Not an agency record
10-00159-FOIA	9/29/2010	REQUEST FOR ANY INFORMATION LINKING ME TO ANY ONGOING INVESTIGATION/STUDIES INVOLVING MILITARY'S "NON-LETHAL WEAPONS PROGRAMS", BEHAVIORIAL MODIFICATION, THE USE OF ELECTROMAGNETIC, STATIC, MICROWAVE , BIOCHEMICAL, MICROCHIP TECHNOLOGIES, AND CIA, ETC	Other Reasons - Not an agency record
10-00002-FPA	1/12/2010	REQUEST FOR ALL DOCUMENTS IN AGENCY FILES RELATED TO (b)(6)	Other Reasons - No records
10-00003-FPA	1/27/2010	REQUEST FOR ALL DOCUMENTS RELATING TO (b)(6)	Other Reasons - No records
10-00001-PA	4/8/2010	REQUEST FOR A COPY OF MY PERSONNEL SECURITY FILE COVERED BY CFTC-44.	Other Reasons - No records
11-00001-AP	11/17/2010	Not satisfied with response.	Completely Affirmed
11-00002-AP	1/5/2010	XXXXXXX	Completely Reversed/Remanded
11-00008-FPA	12/9/2010	Request for any information CFTC has regarding (b)(6)	Other Reasons - No records
11-00029-FOIA	12/9/2010	Request for the names, job description and salaries of all CFTC administrative assistants and staff assistants, grade 9 - 11.	Granted in Full
11-00030-FOIA	12/10/2010	Request for any and all records relating to the CFTC's referral of forged letters to the US Justice Department on December 1.	Denied in Full
11-00031-FOIA	12/13/2010	Request for the data referenced by the CFTC in the portion of its Notice of Propose Rulemaking on Core Principles and Other Requirements for Contract Markets, RIN 2028-AD09, setting forth the Minimum Centralized Market Trading Percentage Requirement.	Granted/Denied in Part
11-00032-FOIA	12/13/2010	Request for copies of the CFTC congressional correspondence log from 7/1/2010 to the present and any and all congressional correspondence between 7/1/2010 to the present	Granted in Full
11-00033-FOIA	12/13/2010	Request for any and all records relating to government contract PIIID: CFEN09COD236, including the original terms of the contract and any/all results, documents, findings of the contract.	Granted/Denied in Part
11-00034-FOIA	12/3/2010	Request forwarded from NFA for non-public documents on file for Steven Brewer.	Granted/Denied in Part
11-00035-FOIA	12/13/2010	Request for materials concerning CFTC action in the matter of Anthony J. DiPlacido, CFTC Docket No. 01-23.	Other Reasons - Public Records
11-00036-FOIA	12/16/2010	Request for 5 copies of CFTC's directory.	Other Reasons - No records
11-00037-FOIA	12/22/2010	Requestor states that she is a teacher whose class is studying aspects of the US government; she seeks information regarding CFTC's area of expertise.	Other Reasons - Public Records
11-00038-FOIA	1/5/2011	Requester seeks information on import-export of onions between the U.S and India	Other Reasons - No records
11-00039-FOIA	1/6/2011	Request for General Information on Trading Commodity Futures	Other Reasons - Public Records
11-00041-FOIA	1/19/2011	Request for information on the CFTC's investigation into the 'flash crash' of May 6, 2010 and the CFTC's efforts to restore market stability and confidence. Requestor seeks: CFTC records referred to the Treasury and the National Economic Council pertaining to the market events of May 6, 2010; CFTC records of meetings with chief executives of trading venues on May 10, 2010; CFTC records of interviews with market participants; and CFTC records of communications with significant market participants.	Granted/Denied in Part
11-00043-FOIA	1/18/2011	Requestor seeks a true copy (from the negatives) of his photo which he states are attached to his email request	Other Reasons - No records
11-00044-FOIA	1/19/2011	Requestor Seeks Interrogatories, Requests for Production of Documents and Tangible Things, and/or Requests for Admission, as well as Answers, Responses, or Objections Thereto Sent and Received by the Commission in the Lawsuit Captioned CFTC v. Sentinel Management, et al., No. 08CV2410 (Northern Dist. of Ill.)	Granted/Denied in Part
11-00045-FOIA	1/20/2011	Requestor Seeks all Documents and Information Related to the CFTC's Investigation of Dairy Farmers of America, Inc. and Its Officers Gary Hanman and Gerald Bos Resulting in the December 16, 2008 CFTC Order, Docket No. 09-02	Other Reasons - Records not reasonably described

11-00046-FOIA	1/21/2011	Requestors Seeks Any Documents, Communications, Correspondence, Notes of Telephone Conversations, Affidavits, Declarations, Transcripts, Witness Statements or Customer Complaints in Connection with Violations of the Commodity Exchange Act by Global Asset Management, Inc., American Precious Metals, Inc., Berkshire Asset Management, LLC, Diversified Precious Metals International, Inc., International Metals Management, Leland National Gold Exchange, and United States Metal Corporation	Denied in Full
11-00047-FOIA	1/21/2011	Requestor Seeks Invoices for Furniture Cleaning, Carpet Cleaning and Installation and Repair Services Performed Within the Last Two Years	Granted in Full
11-00040-FOIA	1/7/2011	11-00040-FOIA Incoming Letter	Granted/Denied in Part
11-00048-FOIA	1/21/2011	Request for General Information on Commodity Pools, Commodity Pool Operators, and Commodity Trading Advisors	Other Reasons - Public Records
11-00049-FOIA	1/25/2011	Request for A Copy of the Commodity Futures Trading Commission's FOIA Log from July 1, 2010 to January 1, 2011	Granted in Full
11-00050-FOIA	1/25/2011	Request for Financial Pool Reports of Spark Management, LP	Granted/Denied in Part
11-00051-FOIA	1/28/2011	Requests Information, Documents, Records, and/or Testimony Concerning, Relating to, and/or Produced In the Matter of Andrew W. Daniels, Edward L. Taylor, Glenn A. Swanson, Global Asset Advisors d/b/a Daniels Trading, and Daniels Trading Group LLC. CFTC Docket No. 11-05	Denied in Full
11-00052-FOIA	1/31/2011	Request for I-130 Form for (b)(6)	Other Reasons - No records
11-00053-FOIA	1/31/2011	Request a Copy of Notes Taken by CFTC Staff After Review of Internal Review by KPMG of BP's Energy Trading Practices in 2006	Denied in Full
11-00054-FOIA	2/1/2011	Request for Documents Pertaining to Futures Trading Activities Engaged in by Agape World	Other Reasons - Request withdrawn
11-00055-FOIA	2/4/2011	Request for the Names of Individuals Who Received Relief from the Judgment Against the Defendants in CFTC v. FTI Financial Group, et al., (97-Civ-7061)	Granted in Full
11-00056-FOIA	2/4/2011	Request for Copy of Leverage Contract(s) Submitted with an Application to Register a Leverage Commodity	Granted in Full
11-00057-FOIA	2/4/2011	Request for Information or Records of all Currently Registered Series-3 Brokers	Other Reasons - No records
11-00058-FOIA	2/4/2011	Request for the Results of the Investigation of Mike Dumitru & International Currency Market Management, Corp.	Denied in Full
11-00059-FOIA	2/4/2011	Request Copies of Career and Education History of CFTC Senior Staff	Granted in Full
11-00060-FOIA	2/8/2011	Request for Documents Relating to CFTC Docket No. 11-05, Order Instituting Proceedings Pursuant to Sections 6(c) and 6(d) of the CEA, and Commission Order dated January 26, 2011	Granted in Full
11-00061-FOIA	2/11/2011	Letters to Agency from Members of Congress	Granted/Denied in Part
11-00062-FOIA	2/11/2011	Copies of Various Applications for Designation as a Contract Market Submitted by the Chicago Board of Trade in 1982	Other Reasons - Public Records
11-00063-FOIA	2/14/2011	CFTC's Use of a Pricing Benchmark of the Futures Contract for West Texas Intermediate Crude Oil Traded on the New York Mercantile Exchange	Granted in Full
11-00064-FOIA	2/16/2011	Request for a Copy of a Contract Hiring Deloitte to Conduct a Series of Focus Groups and Help with other Logistical Planning for Dodd-Frank	Granted/Denied in Part
11-00066-FOIA	2/17/2011	Referral from the Office of Government Ethics in Response to a Request for a Copy of All Communication Between the Office of Government Ethics and the Commodity Futures Trading Commission Between January 1, 2010 and the Present Day	Granted in Full
11-00067-FOIA	2/22/2011	Request for CBOT Wheat, KCBT Wheat, CBOT Soybeans, CBOT Soybean Oil and CBOT Corn Supplemental Commodity Index (CIT) Report for the Years 2009-2005	Other Reasons - No records
11-00068-FOIA	2/18/2011	Request for Commitment of Traders Reports	Denied in Full
11-00069-FOIA	2/25/2011	Request for Listing of Outstanding Uncashed Checks Issued by the CFTC between 2000-2009	Other Reasons - No records
11-00070-FOIA	2/28/2011	Request for FOIA Logs from November 1, 2010 through the Present Date	Granted in Full
11-00071-FOIA	3/8/2011	Request for Documentation Relating to the Deportation of (b)(6)	Other Reasons - Not an agency record
11-00072-FOIA	3/8/2011	Request for pdf copy of Cargill Investor Services, Inc., Form 1-FR-FCM for the period of 8/1/2005 - 8/31/2005	Other Reasons - Public Records
11-00073-FOIA	3/8/2011	Request for Line-Item Listing of all Travel Expenses and Schedules for Chairman Gary Gensler from 2009 through March 3, 2011	Granted in Full
11-00074-FOIA	3/8/2011	Requestor Seeks Information on How to Read Stock in the Newspaper	Other Reasons - Not a proper FOIA request for some other reason
11-00075-FOIA	3/2/2011	Request Copies For an Accounting of Legal Expenses Charged to the Agency for Services Involving Congressional Testimony, Hearings, Investigations and Inquiries from 2000 to the Present	Other Reasons - No records
11-00224-FOIA	3/9/2011	Request for memo dated January 29, 2008, from the CFTC Division of Market Oversight to the Commission relating to a review of changes to the CBOT and CME rules in the rulebook harmonization process. This memo was referred to at footnote 4 page 8 of the Rule Enforcement Review of the CBOT and CME by DMO dated September 13, 2010	Granted/Denied in Part
11-00076-FOIA	3/10/2011	Request for documents from July 21, 2010 - Present that Discuss Cost Benefit Analysis Issues for Dodd-Frank Rulemaking	Denied in Full
11-00077-FOIA	2/28/2011	Request for Documents, Notes, and Communications in 2010 Relating to Referrals to the Office of Inspector General for Investigation into Potential Violations of 18 U.S.C. 207(a)(1)	Granted/Denied in Part
11-00078-FOIA	2/11/2011	Request for Copies of all Petitions Filed to Date with the CFTC by Entities Operating as Exempt Commercial Markets and Petitions Filed to Date by Entities Operating as Exempt Boards of Trade	Granted in Full
11-00079-FOIA	2/28/2011	Request for Copies of FOIA Requests Submitted on or After January 26, 2011 Which Refer to In the Matter of Andrew W. Daniels, et al., CFTC Docket No. 11-05 ("Settlement Order")	Granted in Full
11-00080-FOIA	2/28/2011	Request for Most Recent Form Required by the CFTC to Apply for Registration of Leveraged Commodities; the Most Recent form Required by the CFTC for Registration as a Leveraged Transaction Merchant with either the CFTC and/or the NFA; Copy of the Last Application for Registration of Leveraged Commodities approved by the CFTC; and the Last Application Approved for Registration as a Leveraged Transaction Merchant	Granted in Full
11-00082-FOIA	3/11/2011	Request for all Investigatory Records, all Enforcement Actions Taken Against the Defendants, All Litigation Files, All Dispositions, Including Decisions, Rulings, Judgments, Orders, Pleas, and Settlements In the Matter of CFTC v. Pacific Bullion, et al., Civ No. 92-MISC. 259 (DSH) (EDNY filed Jan. 27, 1998)	Granted/Denied in Part

11-00083-FOIA	3/16/2011	Request for Information or Records Regarding Incentive Programs Offered to Market Makers for Trading in Futures and Options in Eurodollars and U.S. Treasuries by the CME or the CBOT from January 2, 2002 - Present; and all Rule Proposals and Related Documents Regarding the GFX Corporation from January 2, 2002 - Present	Granted in Full
11-00042-FOIA	1/18/2011	Requestor seeks a copy of the internal CFTC report prepared by the Promontory Financial Group and is referenced in the Dow Jones Newswires article dated November 12, 2010.	Granted/Denied in Part
11-00084-FOIA	3/22/2011	Request for Copy of Latest Disclosure Document of Commodity Trading Advisory Aetonian Capital LLC (NFA ID# 0407174)	Other Reasons - No records
11-00085-FOIA	3/24/2011	Request for Transcript of Paul Nockels's Deposition in the Matter of G. Victor Johnson, II, McGladrey & Pullen, LLP, Altschuler, McVoin & Glasser, LLP, CFTC Docket No. 11-01	Granted in Full
11-00086-FOIA	3/24/2011	Requests Listing of all Current CFTC Staff	Granted in Full
11-00087-FOIA	3/24/2011	Request for Correspondence and Other Information Requested by or Provided to Sen. Scott Brown between February 4 2010 - Present	Granted in Full
11-00003-AP	3/24/2011	Re: 11-00031-FOIA -- Request for the Disclosure of Withheld Responsive Materials and/or a Detailed Nature of the Withheld Materials	Completely Affirmed
11-00004-AP	3/22/2011	Appeal of FOIA Request No. 11-00046	Completely Affirmed
11-00088-FOIA	3/24/2011	Request for a Listing of Commissioners since 1975 and their Party Affiliations	Granted in Full
11-00001-REF	3/22/2011	Request for Documents relating to Investigation of Larry M. Webman; Melvin Webman and Lyle Wexler in CFTC v. Webman, et al	Other Reasons - Request withdrawn
11-00089-FOIA	3/24/2011	Request for Agency Information and Records Relating to Meetings Between CFTC Staff and Goldman Sachs, JP Morgan Chase on Proposed CFTC Rules under Dodd-Frank Act	Granted/Denied in Part
11-00090-FOIA	3/24/2011	Request for Information and Records that Relate to CFTC's October 14, 2010 External Meeting with Barclays Capital, Inc.	Granted/Denied in Part
11-00091-FOIA	4/4/2011	Request for Documents the CFTC has filed with OMB that Describes What the Agency Would Do in Case of a Federal Government Shutdown	Denied in Full
11-00093-FOIA	4/6/2011	Request Information Regarding Any Investigation (Informal or Formal) Conducted by the CFTC of RBS Sempra Commodities, Sempra Energy Trading LLC, Sempra Energy or RBS PLC from June 2009 to the Present	Granted/Denied in Part
11-00094-FOIA	4/11/2011	Request for a Copy of 1998-1999 CFTC Report on the Implementation of the Globex Trading System of the Chicago Mercantile Exchange	Other Reasons - No records
11-00095-FOIA	4/11/2011	Request for Copies of Emails or Texts to and from Chairman Gensler from March 21-28, 2011 that Include at Least One of the Following Terms: Silver; Position Limits; Shorts; JPM; Morgan; GS; BM; Goldman; 3/30; and March 30	Granted/Denied in Part
11-00096-FOIA	4/1/2011	Request for a Copy of Hedging Definitions and the Use of Financial Futures and Options: Problems and Recommendations for Reform, Report of the Financial Products Advisory Committee of the Commodity Futures Trading Commission, June 1987	Other Reasons - Request withdrawn
11-00097-FOIA	4/18/2011	Request for Copies of or Access to Congressional Correspondence, Including both Correspondence from and to Members of Congress with the Following Codes: 20100036; 20110002; 20110001; U201101006; U201101635; and U20110012	Granted/Denied in Part
11-00098-FOIA	4/19/2011	Request for Copy of Peer Review Audit of the CFTC Inspector General by the Inspector General of the Federal Election Commission	Other Reasons - Public Records
11-00099-FOIA	4/20/2011	Request for Correspondence and Other Information Requested by or Provided to Congressman Dean Heller between Jan. 4, 2006 - Present	Other Reasons - No records
11-00092-FOIA	3/24/2011	Correspondence and Internal Communications to and from Brooksley Born Relating to the Regulation of Over the Counter Derivatives during her Tenure as Chairwoman of the CFTC	Other Reasons - Request withdrawn
11-00100-FOIA	4/28/2011	Request for Information on Becoming a Commodity Futures Trader	Granted in Full
11-00101-FOIA	2/11/2011	Request for Information, Documents, Records, and/or Testimony Concerning, Relating to, and/or Produced in Connection with an Investigation Relating to the Alleged Manipulation by BP of the Next-Day Natural Gas Market at Houston Ship Channel During October and November 2008	Denied in Full
11-00102-FOIA	5/10/2011	Request for Information on the Entity Futures, Inc., Founded in 1948 and Closed Before 1989	Other Reasons - No records
11-00103-FOIA	5/10/2011	Request for all Documents Provided by Wells Fargo Bank to the Division of Enforcement after February 2, 2011 Relating to (b)(6)	Granted in Full
11-00104-FOIA	5/16/2011	Request for a Copy of the Division of Enforcement's Administrative Staff Manual and Instructions to the Staff	Other Reasons - Request withdrawn
11-00105-FOIA	5/16/2011	Request for a Copy of all Statements Filed with the General Counsel between January 1, 2006 and April 30, 2011, by Former Commission Members or Employees Who Within Two Years After Leaving the CFTC Were Employed or Retained by Outside Parties on Matters in Which They Expected to Appear Before the Commission	Granted in Full
11-00081-FOIA	5/17/2011	Request for the Department of the Treasury Regarding Reports Produced by the President's Working Group on Financial Markets for the Past Five Years	Other Reasons - No records
11-00107-FOIA	5/18/2011	Request for Historical Data on Maintenance Margin Requirements and Initial Margin Requirements for all Contracts Covered by the CFTC	Granted in Full
11-00106-FOIA	8/31/2011	Request for Information Regarding all Reported Enforcement Tips, Complaints, and Incidents of Fraud or Wrongdoing Involving Potential Violations of Policy, Laws and Regulations reported to the CFTC from January 2005 to the Present	Other Reasons - Request withdrawn
11-00108-FOIA	6/1/2011	Request for Copies of Chairman Gary Gensler's Calendar for the Period Covering May 25, 2010 through the Present, Including Meetings, Phone Calls, and other Contacts	Granted/Denied in Part
11-00109-FOIA	5/25/2011	Consent Order, Robert A. Nagy, CFTC Docket No. 84-28	Granted in Full
11-00110-FOIA	5/25/2011	Request for Copies of Documents Sent in Response to Previous FOIA Request Filed by Ann Davis and Chip Cummins of the Wall Street Journal on August 31, 2006 Relating to Docket No. 02-CRO-0069, BP Corporation North America	Granted in Full
11-00111-FOIA	6/1/2011	Request for a List of FOIA requests from 2010 about which a Political Appointee (Person Appointed under Schedule C, a Non-Career Member of the SES, or Senate-Confirmed Appointee) Personally Made an Inquiry, Personally Reviewed, or Personally had a Hand in the Disposition of the Request	Granted in Full
11-00112-FOIA	6/1/2011	Request for Information on Personal Account With Global Analytics Futures	Other Reasons - Not an agency record
11-00113-FOIA	6/7/2011	List of Meetings in Calendar Year 2010 Between Employees of the CFTC's Office of Inspector General and White House Officials	Other Reasons - No records
11-00114-FOIA	6/7/2011	Request for Copy of the Interagency Agreement Between the CFTC's Office of Inspector General and the Treasury Inspector General to Investigate the Complaint Filed by Judge Bruce Levine in December 2010	Granted in Full

11-00115-FOIA	6/7/2011	Request for A List of Complaints or Requests for Investigation Received by the CFTC Office of Inspector General in Every Calendar Year Between 2000 and 2010	Other Reasons - Request withdrawn
11-00116-FOIA	6/7/2011	Request for List of Investigations the CFTC Office of Inspector General Closed Calendar Year 2010; the Date the CFTC's Whistleblower Hotline became Operational; and the Number of Full-Time Employees Working in the Office of Inspector General at the End of Calendar Year 2010	Granted in Full
11-00117-FOIA	6/9/2011	Request for Copies of Resumes of Schedule C Employees Appointed from August 15, 2009 to May 15, 2011, Non-Career Members of the SES Employed from August 15, 2009 to May 15, 2011, and Senate Confirmed Presidential Appointments from August 15, 2009 to May 15, 2011	Granted/Denied in Part
11-00118-FOIA	6/9/2011	Request for a List of Reports the Agency Made to Congress in 2010 that were Mandated in Statute and to Whom They Were Sent; and a List of the House and Senate Committees and Subcommittees that Heard Testimony from Agency Officials in 2010	Granted in Full
11-00119-FOIA	6/9/2011	Request for a Copy of All Written Communications to the Speaker of the House, John Boehner (R-OH) or Chair of the House Committee on Oversight and Government Reform, Darrell Issa (R-CA), between January 3, 2011 and May 15, 2011	Granted in Full
00-00120-FOIA	6/9/2011	Request for List of All Personnel Appointed as a Senate-Confirmed, Non-Career Member of the SEC, and Schedule C Between January 20, 2001 and May 15, 2011	Granted in Full
11-00121-FOIA	6/17/2011	Request for tick data on E-mini S&P 500 futures from 1997 to 2009 (initial request processed by DMO 12-23-2010)	Granted in Full
11-00122-FOIA	6/20/2011	Request for Information on Maskana, SA	Other Reasons - No records
11-00123-FOIA	6/21/2011	Request for General Information on Commodity Futures Trading	Other Reasons - Public Records
11-000124-FOIA	6/20/2011	Information or Records Regarding Implementation of Dodd-Frank VII from May 1, 2011 through June 20, 2011, Including Documents and Emails Concerning Which of the Proposed Rules Could be Finalized by July 16, 2011	Other Reasons - Request withdrawn
11-00125-FOIA	6/30/2011	Request for Any and All Documents or Other Records, Created or Obtained on or After January 1, 1985 Containing the Names of Certain Individuals and Entities	Other Reasons - Request withdrawn
11-00003-REF	7/1/2011	FOIA Referral from Federal Reserve System Relating to [f]urther detail on information contained on page 3 of the minutes of the Board of Governors of the Federal Reserve dated September 16, 2008 Regarding American International Group, Inc. (AIG)	Denied in Full
11-00004-REF	6/16/2011	NFA Referral of Non-Public Registration Documents on file with NFA for Timothy D. Lyons	Granted/Denied in Part
11-00126-FOIA	6/27/2011	Request for Information on Disclosure Documents used by a Commodity Pool Operator	Other Reasons - Public Records
11-00009-FPA	7/13/2011	Request for all Documents that Relate to the EEO Complaint Filed by (b)(6) and that Refer to (b)(6) Directly or Indirectly	Other Reasons - Not a proper FOIA request for some other reason
11-00127-FOIA	6/22/2011	Request for Copies of Communications from 2002 to the Present Between the CFTC and Any Member of Congress and Any Member of the Administration of the President of the United States Referring to the Collection of Fines, Penalties or Restitutory Awards Imposed Against Any Individual or Entity	Granted/Denied in Part
11-00128-FOIA	6/29/2011	Request for CFTC Study Submitted in 1984 to H.R. Comm. on Agriculture and Sen. Comm. on Agriculture, Nutrition and Forestry, titled "A Study of the Nature, Extent and Effects of Futures Trading by Persons Possessing Material, Nonpublic Information"	Other Reasons - Public Records
11-00129-FOIA	7/7/2011	Request for Copies of CFTC FOIA Logs from January 2010 to the Present	Granted in Full
11-00130-FOIA	7/1/2011	Request for CFTC Reports Regarding the Impact of Speculation on the Prices of Physically-Settled Crude Oil Futures; Request for CFTC Records Describing the Impact of Speculators on the Price of Physically-Settled Crude Oil Futures for Each Quarter Beginning in January, 2009	Other Reasons - No records
11-00010-FPA	7/27/2011	Request for all information that relates to any and all complaints, formal or informal, made to the Commission's EEO office that pertains to (b)(6)	Denied in Full
11-00011-FPA	7/27/2011	Request for information that relates to any and all complaints, formal or informal, made to the Commission's EEO office that pertains to (b)(6)	Denied in Full
11-00131-FOIA	7/22/2011	Request for a copy of outstanding FOIA requests 10-00013 and 10-00044	Granted/Denied in Part
11-00133-FOIA	7/28/2011	Request for access to and copies of all databases containing information related in any way to travel by CFTC employees and/or financed by the CFTC	Granted/Denied in Part
11-00134-FOIA	8/12/2011	Request for a Copy of a 2011 Request from a Member of Congress asking for Copies of Confidential, Section 8 Data; and Request for any Communications between the CFTC, the Hill, and/or Industry Participants which Discuss Concerns about the Fact that this Confidential Data was Breached and Leaked	Granted/Denied in Part
11-00132-FOIA	7/21/2011	In the Matter of G. Victor Johnson, II, McGladrey & Pullen, LLP, Altschulder, Melvoin & Glasser, LLP, CFTC Docket No. 11-01	Other Reasons - Request withdrawn
11-00135-FOIA	8/23/2011	Request for Records and Data Relating to CFTC's Finding that IntercontinentalExchange's Henry Financial LDI Fixed Price Contract Performs a Significant Price Discovery Function; and All Records and Data Underlying the Office of the Chief Economist's Study on the Economic Analysis of Price Discovery on NYMEX and ICE of the ECM Study	Granted/Denied in Part
11-00136-FOIA	7/21/2011	Request for Standard Forms 50 (SF-50S) for all Employees Earning \$225,000, or more per Year in Total Compensation	Granted in Full
11-00137-FOIA	8/29/2011	Copy of Records that Discuss Or Identify the Extent of Record Losses by the NYBOT as a Result of the Destruction of the NYBOT Offices in Terrorist Attack in September 2001; and Copy of Any Reports that Discuss or Describe the Destruction of the NYBOT Offices in the WTC Building in September 2001	Other Reasons - Request withdrawn
11-00138-FOIA	8/29/2011	Request for Copy of any and all CFTC Reports that Discuss or Identify the Extent of Records Losses by CFTC in Regard to the Destruction of the CFTC Offices Located at the One WTC in a Terrorist Attack on September 11, 2001	Other Reasons - Public Records
11-00139-FOIA	9/9/2011	Request for copies of all correspondence between CFTC staff and any member, committee, or employee of Congress related to the derivatives and/or payment, clearing and settlement systems sections of the financial regulatory reform proposals between February 1, 2009 and the present	Granted/Denied in Part
11-00140-FOIA	9/1/2011	Request for copies of any correspondence between CFTC and Congressman Sean Patrick Duffy, of Wisconsin's 7th Congressional District, from 2011 to present	Other Reasons - No records
11-00141-FOIA	9/1/2011	Request for any and all information pertaining to complaints, reports, disciplinary history, opinions, orders and disciplinary actions against (b)(6) from 1985 to present	Other Reasons - No records
11-00145-FOIA	7/20/2011	FOIA Request Related to Position Limits	Granted/Denied in Part
11-00142-FOIA	9/8/2011	Request for the names and address of all commodity futures exchanges in the United States and International	Other Reasons - No records

11-00005-AP	9/14/2011	Appeal of FOIA 11-00136 seeking SF-50s of Employees Earning \$225,000+	Partially Affirmed & Partially Reversed/Remanded
11-00144-FOIA	8/30/2011	Request for copies of internal agency memos or correspondence or documents that review or discuss the merits and/or disadvantages of iPads and/or similar pad/tablet computer devices for employee use	Other Reasons - No records
11-00146-FOIA	9/16/2011	Request for a list of public employee information for all current CFTC employees including name, job title, department name, annual salary, official email address, official mailing address, and original hire date	Granted in Full
11-00147-FOIA	9/14/2011	Request for documents, communications and contracts related to external communications and public relations for CFTC from September 1 2008 through July 20, 2011 regarding budgeting for public relations and announcements for public relations campaigns	Granted/Denied in Part
11-00148-FOIA	9/14/2011	Request for any and all data, studies, reports, analyses, opinions, or other documents reviewed, considered or relied upon by the CFTC prior to December 22, 2010 in formulating its proposed rules regarding Minimum Centralized Market Trading Percentage Requirements included in its Notice of Proposed Rulemaking on Core Principles and Other Requirements for Designated Contract Markets	Other Reasons - No records
11-00149-FOIA	9/14/2011	Information or records regarding the CFTC's decision to allow CME to keep clients from shifting futures positions to ELX	Granted/Denied in Part
11-00150-FOIA	9/19/2011	Request for Comment File 92-10, specifically including but not limited to correspondence and all attachments, memoranda and notes, drafts and opinions	Other Reasons - Public Records
11-00151-FOIA	9/16/2011	Request for records regarding Declaration of (b)(6) including but not limited to correspondence and all attachments, memoranda, notes drafts and opinions	Granted/Denied in Part
11-00152-FOIA	9/14/2011	Concerning In re Libor-Based Financial Instruments Antitrust Litigation, MDL No. 2262, FTC Capital GmbH, et al. v. Credit Suisse, et al., Civil Action No. 1:2011cv02613	Denied in Full
11-00143-FOIA	9/8/2011	Names and addresses of all commodity and futures exchanges in the U.S. and Internationally.	Granted in Full
11-00153-FOIA	9/26/2011	A copy of the FOIA log to the CFTC from Jan 1, 2011 to the present.	Granted in Full
11-00154-FOIA	9/20/2011	Request for responsive documents sent in response to FOIA requests 11-0051 and 11-00060	Granted/Denied in Part
11-00155-FOIA	9/23/2011	Request for permission to use CFTC data for use in general marketing collateral	Other Reasons - Not a proper FOIA request for some other reason
11-00156-FOIA	9/29/2011	Information, documents, data and/or records in the Matter of: Moore Capital Management, LP, Moore Capital Advisors, LLC and Moore Advisors, Ltd., CFTC Docket No. 10-09 and In the Matter of Christopher Louis Pia, CFTC Docket No. 11-17	Denied in Full
11-00157-FOIA	9/30/2011	Request for documents, handbooks or writings of any kind from or by CFTC staff defining what an error is with respect to large trader reporting	Granted in Full
11-00158-FOIA	9/30/2011	Request for complete phone and email directory of CFTC personnel	Granted in Full
11-00159-FOIA	9/30/2011	Request for a list of Government Purchase card holders that include phone numbers, email addresses, and physical addresses	Granted in Full
11-00160-FOIA	9/30/2011	Request for information, notes, and decision for the review and investigation of the Sonador PONZI scheme	Granted/Denied in Part
11-00161-FOIA	9/30/2011	Freedom of Information Act Request for Records for Steven Jude Hoffenberg and Jeffrey Epstein	Denied in Full
12-00001-FOIA	10/5/2011	Request for information on complaint 89 R300	Other Reasons - No records
12-00002-FOIA	10/5/2011	Request for Updated Employee Handbook, Personnel Instructions, Policies, Memoranda, Records, Management Directives between September 1, 2010 through September 30, 2011	Granted/Denied in Part
12-00003-FOIA	10/5/2011	Request for copies of all written statements, with exhibits, taken from the officers, owners or employees or third party contractors relative to Global Asset Management Case No. 11-61075	Granted/Denied in Part
12-00004-FOIA	10/5/2011	Request for all public documents regarding reparation case number 82-R217, involving Kenneth Topin	Granted in Full
12-00001-REF	10/12/2011	Publicly Available Registration Documents and Related Information on File with NFA for Options 2 Futures LLC and Christopher Anthony Smithers	Granted/Denied in Part
12-00005-FOIA	10/6/2011	Request for Information or Records Regarding Transcript(s) of any Investigative Testimony Given Under Oath in CFTC Docket No. 11-01; In the Matter of G. Victor Johnson II, McGladrey & Pullen, LLP and Altschuler, Melvoian & Glasser, LLP	Other Reasons - Request withdrawn
12-00006-FOIA	10/14/2011	Request for CFTC's Opinion on Knock-in-Knock-Out (KIKO) Exchange Hedge Option Product	Other Reasons - No records
12-00007-FOIA	10/6/2011	Request for any document, communication, correspondence, letter, email, notes of conversations, memoranda, affidavit, declaration, transcript, witness statement, or customer complaint relating to Global Asset Management, Inc. during the period January 1, 1996 through March 31, 2000	Other Reasons - Fee-related reason
12-00008-FOIA	10/7/2011	Request for Statement of Work; contractor final reports; and the contractor presentations slides/powerpoint presentations associated with CFTC Contract CFFM10BP0096 Office of General Counsel Organizational Assessment Study	Granted/Denied in Part
12-00009-FOIA	10/14/2011	Request for all email or written communications between the Office of the Chairman and the New York Federal Reserve and Federal Reserve System between August 2010 and June 2011 regarding interest rate derivatives market data	Other Reasons - No records
12-00010-FOIA	10/14/2011	Request for Historical Data on Maintenance Margin Requirements and Initial Margin Requirements for various futures contracts	Granted in Full
12-00011-FOIA	10/7/2011	Any information pertaining to metals positions and transaction by Daniel Shak, between January 1, 2008, and January 31, 2010. To include all reports, inquiries, hedge exemptions, meeting notes and interactions with (CFTC, NFA, COMEX, NYMEX and CME) regarding the same. Shak is associated with names: SHK Diversified, SHK Asset Management, Valhalla Capital Advisors, Sterling Commodities and Sapphire Asset Management.	Other Reasons - No records
12-00012-FOIA	10/6/2011	Requested the addresses of CFTC Chicago and a few (outside) entities.	Granted in Full
12-00013-FOIA	10/6/2011	Requests CFTC's FOIA Log for 2010, seeking requestor name, request number and description of request.	Granted in Full
12-00014-FOIA	10/12/2011	Request for an index of all major information systems of the agency; a description of major information and record locator systems; and a handbook for obtaining various types and categories of public information from the agency in light of the Paperwork Reduction Act	Granted in Full
12-00002-REF	10/20/2011	Referral from OGE -- Request for Communications between OGE and the CFTC between January 1, 2010 and the Present	Granted/Denied in Part
12-00003-REF	10/21/2011	For all records pertaining to the requestor, (b)(6)	Granted/Denied in Part

12-00001-FPA	10/18/2011	Request for all information and documents relating to the CFTC's investigation of Wells Fargo Bank, NA resulting from the complaint submitted by (b)(6) <u>and all information and documentation relating to (b)(6) at the CFTC</u>	Granted in Full
12-00015-FOIA	10/18/2011	Request for Certified Copy of Registration/Business Records for L&R Drading Corporation, LLC	Other Reasons - No records
12-00016-FOIA	10/31/2011	Request for all communications and records from to or about CBOE or CME regarding their respective potential relocations	Other Reasons - No records
12-00017-FOIA	11/2/2011	Request for all economic analysis about position limits for futures and swaps	Granted/Denied in Part
12-00018-FOIA	10/25/2011	Request for all information, recordings (tape recorded and typed), notes the CFTC or its court reporter has regarding subpoena and related interview with CFTC attorneys and (b)(6)	Granted in Full
12-00019-FOIA	11/2/2011	Request for a copy of the recent report on Price Reporting Agencies (PRAs) conducted by the IOSCO	Other Reasons - Request withdrawn
12-00020-FOIA	11/9/2011	A list of any and all direct examinations/audits of registrants the CFTC has conducted in the last 10 years to ensure high quality work by SRO's	Granted in Full
12-00021-FOIA	11/9/2011	Request for documents and company statements collected by investigators from the Cliff Larson Company made to the CFTC or the NFA pertaining to an investigation of the Larson Bell case	Other Reasons - No records
12-00022-FOIA	11/4/2011	Request for Copies of Records Relating to Four External Meetings Regarding the Implementation of the Dodd-Frank Act between the CFTC and Representatives of MF Global, Inc	Granted in Full
12-00004-REF	11/7/2011	NFA Referral -- Request for Non-Public Documents of MF Global FX LLC	Granted/Denied in Part
12-00001-AP	11/7/2011	Request appeals the production of a CFTC travel log. The attached response was not correct for the following reasons: 1)Names of employees, whose salaries come from taxpayer funds, were removed re: b(6). JunketSleuth is posting data for those same taxpayers to view. 2)No specific explanation was provided as to why certain names were withheld. 3)Concerning b(6), Congress has stated, "Since only a clearly unwarranted invasion of privacy is a basis for withholding, there is perceptible tilt in favor of disclosure to the exception."	Completely Reversed/Remanded
12-00023-FOIA	11/15/2011	Request for a copy of any and all letters or communications regarding Gary Gensler's recusal from the MF Globbl investigation	Granted/Denied in Part
12-00024-FOIA	11/11/2011	Request for copies of all documents used by or on which the CFTC relied to support te allegations of Paragraph C ("FACTS") of the Order Instituting Proceedings Pursuant to Sections 6(c) and 6(d) of the CEA, as amended, Making Findings and Imposing Remedial Sanctions In the Matter of Forex Capital Markets U.C. Respondent Docket No. 12-01	Granted/Denied in Part
12-00025-FOIA	11/14/2011	Request for any and all records of communication between any Commissioner, official, employee or representative of the CFTC and any officer, employee or representative of MF Global Holdings, Ltd. and/or MF Global Finance USA, Inc.; and (2) Request for any and all records of communication between any Commissioner, official, employee or representative of the CFTC and any official, employee or representative of any other agency, department or office of the federal government regarding, concerning or related to MF Global Holdings, Ltd. and/or MF Global Finance USA, Inc.	Granted/Denied in Part
12-00026-FOIA	11/10/2011	Request for copies of correspondence to and from the Department of Justice, United States Bankruptcy Court, Blount County Sheriff's Department; and the Office of the Public Defender Services of Eastern Tennessee	Other Reasons - Fee-related reason
12-00027-FOIA	11/17/2011	Request for Respondents' Offer of Settlement, including Appendix A In the Matter of Northstar International Group, Inc. CFTC Docket No. 11-06	Denied in Full
12-00028-FOIA	10/27/2011	Request for General Information and Glossary	Granted in Full
12-00005-REF	11/18/2011	Request for a Copy of Certified Financial Statements for RJ O'Brien Associates LLC, NFA #187	Granted/Denied in Part
12-00029-FOIA	11/21/2011	Request for contact data for registered members of NFA; and CFTC email subscriber list	Granted/Denied in Part
12-00030-FOIA	11/21/2011	Request for proof of notice of service or delivery issued June 19, 1989	Granted in Full
12-00031-FOIA	11/21/2011	Request for copies of all records of communication between the CFTC and MF Global since October 14, 2011	Granted/Denied in Part
12-00032-FOIA	11/17/2011	Request for copies of all minutes and/or transcripts or records of external meetings between Cargill, Cargill Risk Management, or Cargill Inc and the CFTC that took place between August 19, 2010 and November 17, 2011	Granted/Denied in Part
12-00033-FOIA	11/21/2011	Request for documents in connection with CFTC audit and/or inetigation into MF Global and affiliates	Other Reasons - Request withdrawn
12-00034-FOIA	11/29/2011	Request for a copy of any investigation documents or correspondence regarding various companies from January 1, 2009 to the present	Other Reasons - No records
12-00035-FOIA	11/30/2011	Request for information or records regarding MF Global, Inc. CFTC Form 1-FR-FCM for the period of 3/1/2011 - 9/30/2011; and MF Global information that would normally be included in the CFTC report of Financial Data for FCMs	Granted/Denied in Part
12-00036-FOIA	12/1/2011	Request for correspondence between the CFTC and MF Global Trading relating to the use of subordinated loan as net regulatory capital between May 2010 and date of request; correspondence between CFTC and MF Global relating to the impact of sovereign debt exposure on MF Global's net regulatory capital between September 2010 and date of request; correspondence between CFTC and FINRA regarding MF Global	Granted/Denied in Part
12-00037-FOIA	12/6/2011	Request for records regarding historical CME margins for metal and energy futures contracts	Other Reasons - Request withdrawn
12-00038-FOIA	12/1/2011	Request for total monthly open outcry floor trading volume for Heating Oil and Natural Gas from 1990 through 2000; and request for broker to broker floor trading monthly volume for all options traded on NYMEX from 1998 through 2011.	Other Reasons - No records
12-00039-FOIA	11/2/2011	Request for information to be published in the Federal Register	Other Reasons - No records
12-00040-FOIA	12/8/2011	Request for records regarding Financial and Operational Combined Uniform Single (FOCUS) Reports on MF Global	Granted/Denied in Part
12-00006-REF	12/7/2011	Request for Public ad Non-Public Documents regarding Nathan Lunt	Granted/Denied in Part
12-00007-REF	12/8/2011	Request for records concerning Dairy Farmers of America's trading in the CME Class III Milk futures contract and Cheese Spot Callmarket (blocks and barrels)	Other Reasons - Duplicate Request
12-00041-FOIA	12/8/2011	Request for records concerning Dairy Farmers of America's trading in CME Class III Milk futures contract; and records concerning DFA's purchases, sales, bids and offers on CME's Cheese Spot Call market	Granted/Denied in Part
12-00042-FOIA	12/9/2011	Request for all records related to Directo A Mexico Program	Other Reasons - No records
12-00043-FOIA	12/13/2011	Request for electronic copy of records and correspondence provided to Chairman Issa in response to his January 2011 inquiry regarding CFTC's administration of FOIA	Granted in Full

12-00044-FOIA	12/13/2011	Request for date of phone call to Andrew Ridenour	Granted in Full
12-00045-FOIA	12/14/2011	Request for time series data on margin requirements for commodity futures	Other Reasons - No records
12-00046-FOIA	1/11/2012	Request for all communications between Acting Chairman Walter Lukken and the Futures Industry Association between June 27, 2007 and January 20, 2009	Granted in Full
12-00047-FOIA	1/9/2012	Request for copies of the 2010 and 2011 presentations and/or reports by Promontory to MF Global, MFGlobal Audit Committee, or MF Global Audit and Risk Committee	Granted/Denied in Part
12-00048-FOIA	1/3/2012	Request for most recent monitoring report for Schuyler Head Start Inc., located in Montour Falls, NY	Other Reasons - No records
12-00002-AP	12/21/2011	Appeal of 12-00008-FOIA	Partially Affirmed & Partially Reversed/Remanded
12-00049-FOIA	12/1/2011	Request for all documentation regarding the maintenance of assets by MF Global for the period of October 17, 2011 through October 13, 2011; including copies of all correspondence with the CME, SEC, JP Morgan Chase and Harris Bank	Denied in Full
12-00050-FOIA	1/18/2012	Request for copies of correspondence to and from the Commission regarding the Commission's foreign futures and options rules	Granted/Denied in Part
12-00051-FOIA	1/18/2012	Request for statements filed with the Office of General Counsel between January 1, 2001 and December 31, 2011 by former members or employees who within 2 years after leaving the CFTC were employed or retained by outside parties on matters in which they were expected to appear before the Commission	Granted in Full
12-00052-FOIA	1/19/2012	Request for a copy of the independent review and assessment of MF Global conducted by Promontory Financial Group as part of a December 2009 enforcement action	Granted/Denied in Part
12-00053-FOIA	12/21/2011	Request for list of Jeff Epstein investigation documents	Other Reasons - No records
12-00054-FOIA	1/24/2012	Request for MF Global, Inc. reports, written communications, and all internal records concerning MF Global and/or its parent(s) and/or affiliate(s)	Granted/Denied in Part
12-00055-FOIA	1/23/2012	Request for records regarding the CFTC's choice of a SIPC-led liquidation as the appropriate mechanism to liquidate MF Global	Granted/Denied in Part
12-00056-FOIA	1/23/2012	Request for general information about commodity futures and trading	Granted in Full
12-00057-FOIA	1/31/2012	Request for logs of communications between members of Congress and the CFTC, including letters, emails, facsimiles, telephone or voice mail messages	Granted/Denied in Part
12-00058-FOIA	2/1/2012	Request for access to and a copy of Wright County Community Action, Inc. head Start Records (Grant #05CH4131)	Other Reasons - No records
12-00059-FOIA	1/31/2012	Request for registration information for Karl Peters	Granted/Denied in Part
12-00060-FOIA	1/20/2012	Constituent complaint regarding CFTC action	Granted/Denied in Part
12-00061-FOIA	2/3/2012	CFTC Docket No. 11-06; Request for copy of Offer of Settlement and Appendix A	Denied in Full
12-00062-FOIA	2/6/2012	Request for copies of various correspondence and applications for relief relating to Commission Orders dated March 17, 1989, February 27, 1997, and March 22, 1990, respectively.	Granted in Full
12-00063-FOIA	2/7/2012	Meetings with the Securities Industry and Financial Markets Association (SIFA)	Granted/Denied in Part
12-00064-FOIA	2/10/2012	Position Limits	Granted/Denied in Part
12-00008-REF	6/16/2011	Robert Nagy registration docs NFA#37192 NFA#257764	Granted/Denied in Part
12-00065-FOIA	2/8/2012	Written determinations under 18 U.S.C. 208(b)(1) and (b)(3)	Other Reasons - No records
12-00066-FOIA	2/6/2012	Annual Compensation	Granted/Denied in Part
12-00067-FOIA	4/10/2012	MF Global	Granted/Denied in Part
12-00068-FOIA	2/16/2012	FSA response to CFTC's November 30, 2007 letter	Other Reasons - No records
12-00069-FOIA	2/16/2012	General information	Granted in Full
12-00070-FOIA	2/23/2012	Masters Capital Management	Granted in Full
12-00071-FOIA	2/21/2012	Correspondence to Congressman Michael Coffman	Other Reasons - No records
12-00072-FOIA	2/27/2012	Manipulation of oil prices by Morgan Stanley	Granted/Denied in Part
12-00073-FOIA	3/6/2012	Commissioner's federal salaries	Granted in Full
12-00003-AP	3/12/2012	Appeal of 12-00053	Other Reasons - No records
12-00074-FOIA	3/15/2012	Sarbanes-Oakley Act	Other Reasons - No records
12-00075-FOIA	3/14/2012	Public meetings sign-in sheets	Granted/Denied in Part
12-00076-FOIA	3/23/2012	Section 508 of the Rehabilitation Act	Granted/Denied in Part
12-00077-FOIA	3/27/2012	Spot prices and long/short positions on commodities	Other Reasons - Not an agency record
12-00078-FOIA	3/19/2012	Five most recent IG investigative reports	Granted/Denied in Part
12-00079-FOIA	3/23/2012	Ediscovery Search and Retrieval System Task Order Award	Granted/Denied in Part
12-00080-FOIA	3/23/2012	S. David Friedman, InterCap International, Inc. and the Whitehall Trust	Granted in Full
12-00081-FOIA	3/30/2012	Report and any attachments to the March 2012 report of the TIGTA Inspector General	Granted/Denied in Part
12-00082-FOIA	3/29/2012	Modified request for answer and complaint in DiPlacido, CFTC No. 01-23	Granted in Full
12-00083-FOIA	4/3/2012	Complaint and Answer In re David Henner	Granted in Full

12-00084-FOIA	4/5/2012	A copy of the last three RERs for CME Group Inc	Other Reasons - No records
12-00085-FOIA	4/5/2012	Copy of the CFTC's FOIA log between July 2011 and the present day	Granted in Full
12-00086-FOIA	4/5/2012	All prior or subsequent documents pertinent to MF Global from the Chairman's office	Other Reasons - No records
12-00087-FOIA	4/4/2012	Publicly available registration records for BRI Partners LLC	Granted/Denied in Part
12-00088-FOIA	4/4/2012	Rabar Market Research, Inc. Financial Statements	Denied in Full
12-00089-FOIA	4/9/2012	Number of employees in the Division of Enforcement	Granted in Full
12-00090-FOIA	4/13/2012	July 20, 1989 Exemption Letter to Grosvenor Futures Management	Other Reasons - No records
12-00091-FOIA	4/13/2012	Commodity Pool Operators	Other Reasons - No records
12-00092-FOIA	4/12/2012	Current contracts for online legal research	Granted/Denied in Part
12-00093-FOIA	3/14/2012	Letters on settlement prices in ag commodities on CBT	Granted/Denied in Part
12-00094-FOIA	4/23/2012	Treasury Inspector General for Tax Administration's Inspector General Report	Granted/Denied in Part
12-00095-FOIA	4/24/2012	MF Global Records	Granted in Full
12-00096-FOIA	4/26/2012	MF Global	Granted/Denied in Part
12-00097-FOIA	4/27/2012	SF-50's	Granted/Denied in Part
12-00098-FOIA	4/27/2012	Whistleblower reports	Granted in Full
12-00099-FOIA	4/30/2012	Letter dated November 4, 2011	Granted/Denied in Part
12-00100-FOIA	5/3/2012	Heritage Management Company, LLC registration exemption	Granted in Full
12-00101-FOIA	5/4/2012	NFA Case Number 11-BCC-008	Other Reasons - No records
12-00102-FOIA	5/11/2012	Financial Fraud Enforcement Task Force	Granted/Denied in Part
12-00103-FOIA	5/11/2012	Volume Investors Corporation, Report of the Division of Trading and Markets (July 1985).	Other Reasons - No records
12-00104-FOIA	5/11/2012	#CFHRB-12-DO-0126	Granted/Denied in Part
12-00105-FOIA	5/14/2012	RFQ CFIT-11-SO-0065	Other Reasons - Request withdrawn
12-00106-FOIA	5/14/2012	Records provided in 10-00013-FOIA	Other Reasons - Request withdrawn
12-00107-FOIA	5/18/2012	Request for records referenced in 12-00057-FOIA	Granted/Denied in Part
12-00108-FOIA	5/18/2012	FOIA requests received regarding investigation of energy futures and derivatives markets	Other Reasons - No records
12-00004-AP	5/18/2012	Appeal of 12-00049-FOIA	Completely Affirmed
12-00109-FOIA	5/21/2012	Heritage Management Company, LLC and/or Aubrey McClendon	Other Reasons - No records
12-00110-FOIA	5/21/2012	Rosenthal Collins Group, LLC	Granted/Denied in Part
12-00111-FOIA	5/24/2012	Goldman Sachs & Co	Granted/Denied in Part
12-00112-FOIA	5/25/2012	High Street Capital Management LLC (HSC) and High Street Financial, Inc. (HSF)	Granted in Full
12-00113-FOIA	5/24/2012	Correspondence to Senator Scott P. Brown	Granted in Full
12-00114-FOIA	5/24/2012	Correspondence to Senator Scott P. Brown	Granted in Full
12-00115-FOIA	6/4/2012	TIGTA Report	Granted/Denied in Part
12-00116-FOIA	6/6/2012	CFTC Docket No. 11-06, Northstar	Other Reasons - Not an agency record
12-00117-FOIA	6/6/2012	General information	Other Reasons - Not a proper FOIA request for some other reason
12-00118-FOIA	6/6/2012	CFTC v. Global Currencies, Ltd., Leon Levitis, et. al, CFTC Docket No. 97-13	Granted/Denied in Part
12-00119-FOIA	6/12/2012	Interactive Brokers	Granted/Denied in Part
12-00005-AP	6/12/2012	Appeal of 12-00097-FOIA	Partially Affirmed & Partially Reversed/Remanded
12-00120-FOIA	6/12/2012	Puerto Rican Family Institute	Other Reasons - No records
12-00121-FOIA	6/13/2012	Chairman Gensler's Travel Records	Granted/Denied in Part
12-00122-FOIA	6/15/2012	Dennis R. Bolze, Centurion Asset Management and/or Advanced Trading Services	Other Reasons - No records
12-00123-FOIA	6/20/2012	Head Start Grant Awards	Other Reasons - No records
12-00124-FOIA	6/18/2012	CFTC Investigation of Moore Funds	Other Reasons - Request withdrawn
12-00125-FOIA	6/28/2012	Solicitation # CFIT09BP00800T000	Granted/Denied in Part
12-00126-FOIA	7/5/2012	All emails between former CFTC Commissioner Michael Dunn and his son Matthew Dunn, all emails between Michael Dunn and anyone working at Patton Boggs or the DTCC	Granted/Denied in Part
12-00127-FOIA	7/5/2012	In re Optiver Commodities Litig.	Denied in Full
12-00128-FOIA	7/11/2012	Last audited financial statement of Peregrine Financial Group	Granted/Denied in Part

12-00129-FOIA	7/13/2012	Peregrine Financial Group Audit Report	Granted/Denied in Part
12-00130-FOIA	7/17/2012	Peregrine Financial Group investigative work papers	Granted/Denied in Part
12-00131-FOIA	7/17/2012	List of examinations/inspections/audits of Peregrine Financial Group	Granted/Denied in Part
12-00132-FOIA	7/18/2012	Rule enforcement reviews	Granted in Full
12-00133-FOIA	7/18/2012	Audited financial statements of FCMs for CY 2011	Granted/Denied in Part
12-00134-FOIA	7/18/2012	Rule 30.10 exemption issued June 1989 to MF Global UK	Granted in Full
12-00139-FOIA	8/1/2012	Investigation of Anthony Klatch and TASK Capital Partners	Denied in Full
12-00140-FOIA	8/6/2012	CFTC review of Peregrine Financial Group	Granted/Denied in Part
12-00141-FOIA	8/6/2012	Metal warehouses licensed or listed by the London Metal Exchange	Granted/Denied in Part
12-00142-FOIA	8/1/2012	2010 Investigation of Morgan Stanley and ICE	Other Reasons - No records
12-00143-FOIA	8/7/2012	Letters to and from Congressional Committees and Members of Congress	Granted/Denied in Part
12-00144-FOIA	8/7/2012	David Meister Recusals	Granted/Denied in Part
12-00145-FOIA	8/8/2012	Investigation of possible manipulation of cotton and cotton futures markets in 2011	Other Reasons - Request withdrawn
12-00146-FOIA	8/10/2012	General information on CFTC	Granted in Full
12-00147-FOIA	8/8/2012	Copy of 1987 CFTC Rule 30.7	Other Reasons - Public Records
12-00148-FOIA	8/8/2012	CFTC Inspector General Report on the Volcker Rule	Other Reasons - No records
12-00149-FOIA	8/16/2012	Statement of work for CFTC Contract CFHRB12DO0095	Granted/Denied in Part
12-00150-FOIA	8/16/2012	Statement of work for CFTC contract CFFM10BP0143	Granted/Denied in Part
12-00151-FOIA	8/16/2012	Statement of work for CFTC contract CFEN09CO0236	Granted/Denied in Part
12-00152-FOIA	8/20/2012	Correspondence to and from Cong. Paul Ryan	Other Reasons - No records
12-00153-FOIA	8/20/2012	Request for deposition transcripts in CFTC vs Paron Capital Management, LLC, & James Crombie	Granted/Denied in Part
12-00154-FOIA	8/20/2012	Correspondence to and from Rep. Paul Ryan	Granted in Full
12-00155-FOIA	8/20/2012	In the Matter of Goldman Sachs Execution & Clearing, L.P., CFTC Docket No. 12-16	Other Reasons - Request withdrawn
12-00156-FOIA	8/23/2012	CFTC v. Arjent Capital Markets, LLC, Chicago Trading Managers, LLC, Spencer Montgomery and Brian Reynolds, Case No. 12-CV-1832	Other Reasons - Request withdrawn
12-00157-FOIA	8/31/2012	Records regarding the President's Working Group on Financial Markets	Granted in Full
12-00158-FOIA	9/5/2012	Copy of CFTC-OIRA MOU	Granted/Denied in Part
12-00006-AP	9/6/2012	Appeal of FOIA 12-0002 seeking MF Global records	Completely Affirmed
12-00159-FOIA	9/10/2012	Reliance Capital Markets II LLC Broker Registration Applications	Other Reasons - No records
12-00160-FOIA	9/11/2012	A listing of anyone and everyone who requested information about Sentinel Management Group, Inc., during the period of January 1, 2003 thru August 12, 2007.	Other Reasons - No records
12-00161-FOIA	9/18/2012	Paron Capital Management LLC, James D. Crombie, Timothy D. Lyons, Peter J. McConnon, JFC Ventures LLC and JDC Trading LLC	Granted/Denied in Part
12-00162-FOIA	9/20/2012	Correspondence to and from Cong. Chris Murphy	Granted in Full
12-00163-FOIA	9/20/2012	General Information on Trading	Granted in Full
12-00164-FOIA	9/17/2012	A copy of the congressional correspondence log including control numbers and lawmaker requests since 1/1/12	Granted/Denied in Part
12-00165-FOIA	9/27/2012	Information on (b)(6)	Granted/Denied in Part
12-00166-FOIA	9/20/2012	Correspondence from CME Group, Inc. regarding rule enforcement review of September 2010	Granted in Full
12-00167-FOIA	9/28/2012	Records prepared referring or relating to cost benefit analysis of agency rules and various Executive Orders	Granted/Denied in Part
13-00001-FOIA	10/5/2012	Personnel roster for FY 2009, 2010, 2011, and 2012	Other Reasons - Request withdrawn
13-00002-FOIA	10/9/2012	Request for records regarding investigation of (b)(6)	Other Reasons - No records
13-00003-FOIA	10/9/2012	Request for Statement of Work Contracts.	Granted/Denied in Part
13-00001-FPA	10/10/2012	Request for documents related to professional record	Granted/Denied in Part
13-00004-FOIA	10/22/2012	Correspondence and responses from Chicago Mercantile Exchange and Norman Mains, including those dated 9/18/1996 and 10/31/1996.	Granted in Full
13-00005-FOIA	10/23/2012	All written and oral communications involving Intrade, PLC	Other Reasons - Request withdrawn
13-00006-FOIA	10/23/2012	Michael Potter and Centurion Asset Management, and/or Advanced Trading Services	Denied in Full
13-00007-FOIA	10/25/2012	Audio recordings regarding Barclays	Denied in Full
13-00008-FOIA	11/6/2012	Requests regarding Sentinel Management Group, Inc.	Other Reasons - No records
13-00009-FOIA	11/14/2012	CFTC's Budget Contingency Plans	Other Reasons - No records
13-00010-FOIA	11/15/2012	Information or records re action involving Respondent, Bunge Global Markets Inc. CFTC #11-10	Other Reasons - No records
13-00011-FOIA	11/19/2012	A copy of the Executive Compensation Study by Morgan Franklin Corp, pursuant to 4/6/2012 CFTC contract.	Granted/Denied in Part

13-00002-FPA	11/19/2012	Two security interviews of (b)(6) prepared on or about November 2012 by L.A. Harding and Mark Borchers of Allied Barton Security Services, regarding a missing laptop	Granted in Full
13-00013-FOIA	11/23/2012	List of CFTC staff members assigned to work related to the Financial Stability Oversight Council.	Granted in Full
13-00001-REF	12/4/2012	Consultation request from SEC re (b)(6) SEC FOIA Request Nos. 12-07816 and 12-07617-FOIA	Granted/Denied in Part
13-00014-FOIA	12/11/2012	General information on commodity trading	Granted in Full
13-00015-FOIA	12/11/2012	Audits and Disclosure Forms filed for Samuel Berger Investment Company 1/1/1991 to 5/31/1996	Other Reasons - No records
13-00016-FOIA	12/13/2012	Information regarding CFTC Letter No. 12-49 - Alternative to Fingerprinting to Establish Fitness of Principals Residing outside the United States.	Other Reasons - No records
13-00017-FOIA	12/12/2012	Information regarding CFTC Letter No. 12-22 - Time-Limited No-Action Relief: Swaps Only With Certain Persons to be Included in Calculation of Aggregate Gross Notional Amount for Purposes of Swap Dealer De Minimis Exception and Calculation of Whether a Person is a Major Swap Participant.	Granted/Denied in Part
13-00018-FOIA	12/4/2012	Historical margin data	Other Reasons - Request withdrawn
13-00019-FOIA	12/14/2012	Documents relating to Goldman Sachs & Co. and Steven A. Cohen	Other Reasons - No records
13-00020-FOIA	12/14/2012	Documents relating to trades between Goldman Sachs & Co. and various individuals and entities	Other Reasons - No records
13-00021-FOIA	12/17/2012	All letters, from January 1, 2009 to December 17, 2012, between the US CFTC and Jeb Hensarling who represents the 5th Congressional District of Texas.	Granted in Full
13-00022-FOIA	12/17/2012	All letters, received between January 1, 2009 and December 17, 2012, between the U.S. CFTC and the congressional office of Maxine Waters	Granted in Full
13-00023-FOIA	12/27/2012	Appendix A attached to letter requesting no-action relief dated December 21, 2012 from Singapore Exchange Derivatives Clearing Limited to the Director of the Division of Clearing and Risk	Granted in Full
13-00024-FOIA	1/2/2013	Copies of requests sent by market participants for relief relying on the de minimis exception to the swap dealer registration requirement as in CFTC Letter No. 12-71	Denied in Full
13-00025-FOIA	12/28/2012	General information on commodity regulation	Granted in Full
13-00026-FOIA	1/8/2013	"List and contact information of the credit card holders that have authorization to purchase supplies, hardware, furniture etc for their departments"	Granted in Full
13-00001-AP	1/8/2013	Appeal of Constructive Denial of FOIA Request Nos. 12-00136, 12-00138, 12-00140, 12-00149, 12-00150, 12-00151	Other Reasons - Not a proper FOIA request for some other reason
13-00027-FOIA	1/9/2013	CFTC Letters 97-59, 97-61, 98-13, 98-64	Granted/Denied in Part
13-00028-FOIA	1/15/2013	Singapore Exchange request for no-action relief	Granted in Full
13-00029-FOIA	1/17/2013	For the period October 1, 2011 through December 31, 2012 Employee Handbook, Personnel Instructions, Policies, Memoranda, Records, Management Directives, any additional employee manuals, guides or arbitration awards that are new or have been updated.	Other Reasons - No records
13-00030-FOIA	2/8/2013	Regulatory disclosures for John Howard Burbank III and William G. Alberti	Granted in Full
13-00031-FOIA	2/1/2013	A copy of any and all records (memos, emails or other material) mentioning or discussing or referencing steps being taken by the CFTC to address the high rate of tax delinquency of agency employees.	Granted in Full
13-00032-FOIA	2/1/2013	A copy of the "sequestration plan" at the CFTC.	Granted in Full
13-00033-FOIA	2/11/2013	Copies of any available documents/filings/pleadings regarding the following matter: Dennis Fitzgerald v. Alaron Trading Corporation & Larry Alan Lindstrom, CFTC Docket #98-R112.	Granted/Denied in Part
13-00034-FOIA	2/8/2013	Did Lake Community Action Agency receive a COLA of 1.82% in 2011? If they did, I do not believe they passed it on to their Head Start Employees.	Other Reasons - Not an agency record
13-00035-FOIA	2/8/2013	Did Lake Community Action Agency, 501 N. Bay St., Eustis, FL submit a request for a 5 year non-competitive, grant, in your office by 1/1/2013? Did the agency have a deficiency, did its class score fall below the minimum threshold? Is their 2012 review results available by email?	Other Reasons - Not an agency record
13-00036-FOIA	2/19/2013	Enforcement Procedures Manual	Other Reasons - Request withdrawn
13-00037-FOIA	2/13/2013	Information on Commodity Markets	Granted in Full
13-00038-FOIA	2/14/2013	A list of and copy of all requests made to the CFTC from January 1, 2012 to the present day pursuant to Commission Regulation 145.9, 17 CFR 145.9.	Granted in Full
13-00039-FOIA	2/15/2013	Information assembled in connection with the "Great Potato Futures Default of 1976" - specifically related to Pressner Trading Company and Stephen M Sundheimer, May 1976 Maine Contract.	Granted/Denied in Part
13-00040-FOIA	2/27/2013	Records related to futures trading account of (b)(6) or Money Market Alternative	Denied in Full
13-00041-FOIA	3/1/2013	Records Relating to Disruptive Trading Practices and/or "Spoofing"	Denied in Full
13-00042-FOIA	3/7/2013	Any correspondence, including electronic, on or on behalf of (b)(6) as a private citizen, or on behalf of or as a representative of the following organizations: Advent International, from January 1, 2004 to present; Summit Partners, from January 1, 2001 to June 1, 2004; and Bowles, Hollowell Connor & Co. from May 1, 1997 to June 1, 2001	Other Reasons - No records
13-00043-FOIA	3/8/2013	Interactive Brokers LLC	Granted/Denied in Part
13-00044-FOIA	2/26/2013	1 FR for OANDA	Granted/Denied in Part
13-00002-AP	4/8/2013	Appeal of 12-00115-FOIA	Completely Reversed/Remanded
13-00045-FOIA	3/14/2013	Missing and/or Stolen Government Owned Items	Granted in Full
13-00046-FOIA	3/13/2013	Data reflecting the total volume in NYSE Liffe EURIBOR futures contracts	Granted in Full
13-00047-FOIA	3/18/2013	The complaint received by the CFTC concerning an outside research paper which led the agency to conduct an internal investigation of how it brings in outside consultants.	Granted in Full

13-00048-FOIA	3/19/2013	NF 7-R Forms	Granted/Denied in Part
13-00049-FOIA	3/20/2013	A copy of the original complaint to the CFTC and copy of the settlement agreement; regarding CFTC Release #4042-97 (from CFTC Docket #97-13): CFTC charges Global Currencies Ltd., Leon Levitis, Ilya Levitis, Alex Efrosman, and Paul Manfre with fraud in the sale of illegal foreign currency futures contracts. Respondents are also charged with bucketing customer orders, issuing false reports, converting customer funds and with registration violations (between October 2004 and October 1995).	Granted/Denied in Part
13-00050-FOIA	3/11/2013	(b)(6) Public and Non-Public Documents - Certified Copies of all available filings.	Granted/Denied in Part
13-00051-FOIA	3/11/2013	Rabar Market Research Registration Records	Granted/Denied in Part
13-00052-FOIA	3/11/2013	BRI Partners, LLC; NFA ID 0310662; Public and Non-Public Documents; Certified Copies of 1. Financial Statements; 2. Audit Analysis; 3. Memoranda and other communications between NFA and BRI Partners, LLC; 4. All filings, submissions, inquiries and investigations.	Granted/Denied in Part
13-00003-AP	3/25/2013	Appeal of 12-00021-FOIA	Completely Affirmed
13-00003-FPA	3/28/2013	A copy of the complete file for the laptop that I reported missing on or about November 2012	Granted in Full
13-00053-FOIA	3/31/2013	"scheme to create the biggest depression and stock market crash part of NWO aka new world order regime. I need access to show the world the truth it fimo."	Other Reasons - Not a proper FOIA request for some other reason
13-00054-FOIA	4/2/2013	1) Identify by date each FOIA request, in CY 2011, 2012 and 2013, submitted by (b)(6) 2) For Each request, describe the information requested. 3) For each request, state whether the request has been granted or denied, in whole or in part, and state the date of the grant or denial. 4) If a request has been granted in whole or in part, provide a copy of the information released to (b)(6)	Granted/Denied in Part
13-00055-FOIA	4/3/2013	Information or records of communication between Commissioner Scott O'Malia and his staff and the staff of the International Swaps and Derivatives Association (ISDA) from Jan 1. 2011 to Dec 31, 2012; and information or records of communication between Commissioner Scott O'Malia and the staff of the Securities Industry and Financial Markets Association (SIFMA) from Jan 1. 2011 to Dec 31. 2012	Granted/Denied in Part
13-00056-FOIA	4/3/2013	Information or records of communication between Commissioner Scott O'Malia and his staff and the staff of the U.S. Chamber of Commerce from Jan 1. 2011 to Dec 31, 2012; and information or records of communication between Commissioner Scott O'Malia and his staff and the staff of the Investment Company Institute from Jan 1. 2011 to Dec 31. 2012	Granted/Denied in Part
13-00057-FOIA	4/8/2013	FOIA Log	Granted in Full
13-00058-FOIA	4/9/2013	Relevant to CFTC / CFODT12500201 / Business Process Management System (BPMS), we seek copies of any and all documents related to the evaluation and award of Request for Quotation (RFQ) CFODT-12-SO-0201. The following information is provided to advise you of the award made in connection with the subject Request for Quotation (RFQ) for a Business Process Management System (BPMS). SoftChoice Corporation (proposing the K2 product) 314 W Superior Street, Suite 301 Chicago, IL 60654 Total Award (Base Period plus all Options): \$255,483.40	Granted/Denied in Part
13-00002-REF	4/12/2013	PRI-12-070.1 -- Consultation Request	Granted in Full
13-00059-FOIA	4/15/2013	Centurion Investment Management, LLC	Other Reasons - No records
13-00060-FOIA	4/16/2013	ACF Head Start application proposal of 2012 Yeshiva Kehilath Yakov, Inc.	Other Reasons - No records
13-00061-FOIA	4/16/2013	ACF Head Start application proposal of 2012 of B'Above Worldwide Institute, Inc.	Other Reasons - No records
13-00062-FOIA	4/16/2013	copy of the 2012 Head Start Application proposal submitted by Catholic Charities Neighborhood Services, Inc.	Other Reasons - No records
13-00063-FOIA	4/17/2013	Travel records for the five commissioners, commissioners' staff and division heads for March 2013 and March 2012. Travel records include Govtrip.com submissions, commission authorizations, rejected travel requests, vouchers, ethics office approval letters and expense reports for travel paid for by outside sources	Granted/Denied in Part
13-00004-AP	4/18/2013	Appeal of 13-00006-FOIA	Completely Affirmed
13-00064-FOIA	4/24/2013	The number of cases reported to the CFTC involving retail commodity pool fraud, mismanagement or theft of customer assets by year from 2002 through 2012. The number of enforcement actions undertaken regarding these cases by 1) CFTC; and 2) NFA during the same period. The amount of customer money 1) initially reported lost; and 2) recovered by regulators from 2002 through 2012	Granted in Full
13-00065-FOIA	5/1/2013	Statements of work for BPA Contract No. CFIT-08-BP-0080	Granted/Denied in Part
13-00066-FOIA	5/2/2013	Grant applications of Bank Street College of Education and Visiting Nurse Services of New York Early Head Start	Other Reasons - No records
13-00067-FOIA	5/2/2013	Euroyen TIBOR Futures Contracts	Granted in Full
13-00068-FOIA	5/9/2013	Sequestration records	Granted in Full
13-00069-FOIA	5/6/2013	All information related to the Bitcoin virtual currency between the dates January 2011 - Present Date. Also, any available transcripts that mention Bitcoin.	Other Reasons - Records not reasonably described
13-00070-FOIA	5/13/2013	A copy of the terms and policies for FOREX.COM (a division of Gain Capital Bank), on October 8, 2008.	Other Reasons - No records
13-00071-FOIA	5/13/2013	Copies of emails between registered lobbyists Jim Newsome, Graham Harper, Scott Parsons of Delta Strategy Group, and employees of the CFTC from January 2012 through the present (May 13, 2013).	Granted/Denied in Part
13-00072-FOIA	5/14/2013	Emails between ex-CFTC employees (list attached) and employees of the CFTC from January 2012 through the present (May 14, 2013).	Granted in Full
13-00073-FOIA	5/15/2013	FOIA Log	Granted in Full
13-00074-FOIA	5/17/2013	A copy of a report commissioned by the Global Financial Markets Association (GFMA), titled, "The Economics of Global Commodity Trading Firms and Their Potential Contribution to Systemic Risk." This report was completed in 2012. I also request copies of notes, memos, email or other correspondence that CFTC officials wrote about the report and/or any notes, memos, email or other correspondence following a CFTC conference call with GFMA to discuss the report	Granted/Denied in Part
13-00075-FOIA	5/18/2013	Email correspondence to and from CFTC Commissioners from May 7, 2013 to May 17, 2013 concerning the use of Bloomberg LLP terminals by Bloomberg News journalists with representatives and/or employees of one or more of the following organizations: Williams and Jensen, PLLC; Bloomberg LLP; The Mita Group; Clark Lytle Geduldig & Cranford LLC; The Glover Park Group; SEC; Executive Office of the President and/or the Treasury Dept	Other Reasons - Request withdrawn

13-00076-FOIA	5/21/2013	General Information	Granted in Full
13-00077-FOIA	5/22/2013	Centurion Investment Management, LLC	Granted/Denied in Part
13-00078-FOIA	5/22/2013	Registration files for k(b)(6)	Granted/Denied in Part
13-00079-FOIA	5/21/2013	A copy of the "special call" issued to oil companies seeking information related to swap transaction in the EFRP transactions process at CME Group ClearPort. The special call would have been issued in the past 6-8 weeks.	Granted/Denied in Part
13-00080-FOIA	5/23/2013	In accordance with the Federal Advisory Committee Act and 41 CFR 102-3 Federal Advisory Committee Management, provide copies of documents of the Labor-Management Forums established by the CFTC under the Executive Order 13522 (CFTC Forums): 1) Lists of each and every member of the CFTC Forums; 2) Charters of the CFTC Forums which have been filed with the Administrator or the Committee Management Secretariat of the General Services Administration; 3) Identities of the committee management officers of the CFTC Forums; 4) Identities of the designated federal officers of the CFTC Forums; 5) Notices of the CFTC Forums' meetings which have been published in the Federal Register; 6) Minutes of all meetings which have been conducted by the CFTC Forums; 7) Records, reports, appendixes, working papers, drafts, studies, agenda or other documents which were made	Granted in Full
13-00081-FOIA	5/23/2013	Full public comments on a selection of rules from the CFTC. (see detailed Request Description)	Granted/Denied in Part
13-00082-FOIA	5/31/2013	A copy of the first 100 pages of the records provided to Congressman Darrell Issa under his request for records pertaining to CFTC Chairman Gary Gensler frequently communicating with staff using a personal email account.	Granted/Denied in Part
13-00083-FOIA	6/7/2013	Consumer Advisories and educational materials related to the trading of financial futures and options.	Granted/Denied in Part
13-00084-FOIA	6/10/2013	CFTC FOIA log from September 1, 2012 until March 1, 2013.	Granted in Full
13-00085-FOIA	6/12/2013	Correspondence from the CFTC to Congressional Committees CY 2012 and 2013	Granted in Full
13-00086-FOIA	6/14/2013	"The CME Group deals with the Commission, both DMO and DOE on virtually a daily basis. The CFTC staff directory is very useful to us..., but our version is very out of date. We are requesting a new, up to date version."	Granted/Denied in Part
13-00087-FOIA	6/26/2013	Video or any information about a video of Commissioner Scott O'Malia talking about the Bloomberg swap execution facility that Bloomberg later posted on its website	Granted in Full
13-00088-FOIA	6/24/2013	Any minutes, transcripts, staff memos or other documentation in connection with the CFTC staff meeting with the Coalition for Derivatives End-Users held on 1/10/2013, 2:00 PM, regarding the End-User Exemption to Dodd-Frank	Granted/Denied in Part
13-00005-AP	6/27/2013	Appeal of 12-00128-FOIA	Completely Affirmed
13-00089-FOIA	6/27/2013	A copy of RJ OBrien Associates LLC financial "CFTC Form 1-FR-FCM" filed with the commission under the FOIA, Dec '07, Dec '08, Dec '09, Dec '10, Dec '11 and Dec '12.	Granted/Denied in Part
13-00090-FOIA	7/1/2013	Request for the attachments to the TIGTA March 2012 report on Judge Levine's complaint	Granted/Denied in Part
13-00003-REF	7/5/2013	Referral from SEC for any letters, emails, or other correspondence from any (1) government and/or (2) FINRA officials	Granted in Full
13-00091-FOIA	7/10/2013	Records regarding the Annual Report of the Chief Compliance Officer, prepared and furnished to the CFTC, ...including any schedules, attachments or exhibits thereto, for the following Commission registered Futures Commission Merchants ("FCMs"), and in respect of the stated report dates: Credit Suisse Securities USA LLC (NFA ID: 0002397) CCO Annual Report for FY ending 12/2012; UBS Securities LLC (NFA ID 0223988) CCO Annual Report for FY ending 12/2012; Barclays Capital Inc. (NFA ID: 0228758) CCO Annual Report for FY ending 12/2012; Macquarie Futures USA LLC (NFA ID: 0366355) CCO Annual Report for FY ending 3/2013; and Nomura Securities International Inc. (NFA ID: 0089946) CCO Annual Report for FY ending 3/2013.	Granted/Denied in Part
13-00092-FOIA	7/13/2013	A copy of the CFTC INTRANet (employee internal internet) home page, a copy of each page connected to the CFTC INTRANet home page by one click (one level down), and a copy of each page connected to the CFTC INTRANet home page by two clicks (two levels down).	Granted/Denied in Part
13-00093-FOIA	7/13/2013	A copy of the agendas for all meetings of the CFTC Information Governance Team.	Granted/Denied in Part
13-00094-FOIA	7/13/2013	A copy of the CFTC investigation report concerning use of Section 8 data and other confidential information for academic research papers by CFTC staff, related to the matter described in this correspondence: http://www.cftc.gov/ucm/groups/public/@freedomofinformationact/documents/file/lettertoberkowitz.pdf	Other Reasons - No records
13-00095-FOIA	7/13/2013	A list of whistleblower awards issued by the CFTC Whistleblower Office during Fiscal Year 2012 and Fiscal Year 2013. You may omit the names of the award recipients	Granted in Full
13-00096-FOIA	7/18/2013	Request for a copy of BPA CFIT08BP0080 and all modifications including a copy of all BPA calls and delivery/task orders awarded under that contract.	Granted/Denied in Part
13-00097-FOIA	7/19/2013	Trading activity undertaken by Barclays Capital Inc in ICE electricity trading markets	Other Reasons - No records
13-00098-FOIA	7/19/2013	Commission records regarding Bitcoin	Other Reasons - No records
13-00099-FOIA	7/19/2013	Motley Rice FOIA requests to the CFTC	Other Reasons - No records
13-00100-FOIA	7/26/2013	Request for correspondence relating to any violations of the CEA involving Michael McFadden and affiliated entities	Other Reasons - No records
13-00101-FOIA	7/29/2013	Correspondence from the Commission addressed to Mark Jacobs and associated entities	Other Reasons - Request withdrawn
13-00102-FOIA	8/6/2013	CFTC Staff Directory	Granted/Denied in Part
13-00103-FOIA	8/9/2013	(1) Access to records reflecting the trading records and positions held in NYMEX crude oil futures contracts; ICE Crude oil futures contracts; and ICE West Texas Intermediate (WTI) swaps and crude oil during the time period August 15, 2008 to September 29, 2008. (2) The positions of each of the 4 largest shorts or longs in the September and October NYMEX crude oil futures contracts; ICE Crude oil futures contracts; and ICE West Texas Intermediate (WTI) swap contracts.	Denied in Full
13-00104-FOIA	8/20/2013	Record of monetary fines administered by the Commission	Granted in Full
13-00105-FOIA	8/19/2013	The contact information (email, mailing addresses and/or telephone numbers) of your organization's HR Director, Assistant HR Director, and HR Officer(s) and/or Branch Chief(s), if applicable. The request is for headquarters, regional and/or field offices, not including U.S. Territories or foreign offices	Granted in Full
13-00106-FOIA	8/27/2013	NFA registration forms for Gregory Louis Summe	Granted/Denied in Part

13-00107-FOIA	8/28/2013	Any notices filed, and any records reflecting notices filed, by a Commission registrant relating to violations of customer segregation and/or minimum net capital requirements in connection with the October 15, 2012 ICE transition of certain cleared swap products to futures	Granted/Denied in Part
13-00108-FOIA	8/30/2013	Transcript of August 29 phone call between MFA and CFTC officials	Other Reasons - No records
13-00109-FOIA	8/29/2013	Regarding CFTC Job Announcement - DOE 2013 0012 closing date of 3/22/2013 for Futures Investigator. Provide the following information: Date position was filled; Age of all applicants that were formally interviewed; Age of individual offered position; Background experience of individual offered position; Age of last 50 individuals hired by CFTC at time of hire; Reasons why Human Resources did not respond to multiple calls and emails regarding this opening	Granted in Full
13-00110-FOIA	8/31/2013	Relevant to CFFM10BP0096 - SOW, List of Respondents, Slides from Oral Presentation, Video from Oral Presentation; Transcript from Oral Presentation.	Granted/Denied in Part
13-00111-FOIA	9/4/2013	Accession Number: 20130904-0005. 8/29/2013 Letter to Commodity Futures Trading Commission re the finalization of the Memoranda of Understanding. RECIPIENT: GENSLER, G - COMMODITY FUTURES TRADING COMMISSION. AUTHOR: WELLINGHOFF J - FERC CHAIR AND IMMEDIATE STAFF (CHAIR)	Granted in Full
13-00112-FOIA	9/9/2013	"A copy of the log of FOIA requests to the CFTC between January 1, 2011 and Sept. 9, 2013, including control numbers, name of requestor, details of the requests and status of the request."	Granted in Full
13-00113-FOIA	9/18/2013	Contract specifications for Certificates of Deposit Futures Contracts listed in 1981/1982	Granted in Full
13-00114-FOIA	9/26/2013	Copies of reports submitted by ICE concerning day-ahead fixed price electricity transactions	Other Reasons - No records
13-00115-FOIA	9/27/2013	Records regarding Sonador Capital Management, Inc.	Granted in Full
13-00116-FOIA	9/27/2013	Documents related to the most recent investigation conducted by the CFTC concerning silver markets.	Other Reasons - Fee-related reason
13-00117-FOIA	9/30/2013	Request for copies of requests for confidential treatment from January 1 - February 1, 2012, where confidential treatment is also requested for the transmittal letter	Granted/Denied in Part
14-00001-FOIA	10/17/2013	Copies of any records pertaining to the CFTC's investigation into allegations of manipulation in the silver market.	Other Reasons - Request withdrawn
14-00002-FOIA	10/17/2013	FOIA Logs	Granted/Denied in Part
14-00003-FOIA	10/17/2013	Records relied on or considered by the CFTC in connection with its investigation into the COMEX silver market	Granted/Denied in Part
14-00004-FOIA	10/17/2013	Records referencing SWAT or special response teams	Granted/Denied in Part
14-00005-FOIA	10/17/2013	Copies of all reports submitted, or information made available, by the Intercontinental Exchange, Inc. ("ICE") concerning day-ahead fixed-price electricity transactions and/or financially-settled power swaps executed at any time during the period from July 1, 2006 through December 31, 2008	Other Reasons - No records
14-00006-FOIA	10/18/2013	1. List of all Politically-Appointed and Career Personnel that make more than \$150K/yr in combined salary & bonuses. As of 10/15/2013, current annual salary information, name & title; and relevant bonuses going back to January 1, 2012 (amount of the bonus and date paid). 2. The total number of employees that make between \$100,000 & \$149,999 per year. I am not seeking the names, titles or other details for those employees, but instead am seeking aggregate information for these employees.	Granted/Denied in Part
14-00007-FOIA	10/19/2013	A digital copy of the current CFTC Library Catalogue (formerly called LION), preferably output into a flat file such as Excel or a CSV file.	Granted in Full
14-00008-FOIA	10/19/2013	The listing of CFTC forms, including internal forms found on the CFTC employees only Intranet website under TOOLS/Forms.	Granted/Denied in Part
14-00001-REF	10/21/2013	WTO financial service negotiations	Granted/Denied in Part
14-00009-FOIA	10/26/2013	List of bank names from the Bank Participation Report.	Denied in Full
14-00010-FOIA	10/30/2013	Agency Record FOIA log for the period January 1, 2013 to present. Include control number, identity of requester, subject matter, status and final disposition of request	Granted in Full
14-00011-FOIA	10/29/2013	All investigative records concerning any Commodity Futures Trading Commission investigation of Goldman Sachs Group, Inc., GS Power Holdings LLC, Metro International Trade Services LLC, London Metal Exchange Limited, JP Morgan Chase & Co., Glencore Xstrata plc, or Trafigura Beheer BV regarding the aluminum market	Denied in Full
14-00012-FOIA	11/1/2013	Alphabetical listing of all current CFTC employees (no contractors).	Granted/Denied in Part
14-00013-FOIA	11/1/2013	Non-Public Document Request. Andrew Ellingson Beck III responded "yes" to Question E of the Regulatory Disclosure section of his NFA registration. Copies of any documents supplied in connection to this disclosure.	Granted/Denied in Part
14-00014-FOIA	11/4/2013	Letters (including emails) from members of Congress to the CFTC, written since July 21, 2010 regarding the "push-out rule" for swaps dealers; the treatment of international swaps transactions by companies with significant business in the US or US companies; and new regulatory proposals required under the Dodd-Frank act	Granted/Denied in Part
14-00015-FOIA	11/1/2013	1. NFA Policies and Procedures for compliance with 17 CFR section 1.52(a)(3); 2. Copies of all NFA audits of Peregrine Financial Group conducted from 1/1/07 through 12/31/12; 3. All documents that reflect whether NFA ever classified Peregrine Financial Group as a "High-risk firm" within the meaning of 17 CFR section 1.52(a)(3)	Granted/Denied in Part
14-00016-FOIA	11/4/2013	FIT INTERNATIONAL GROUP CORP. Any and all documents which you do have in your possession regarding FIT INTERNATIONAL GROUP CORP.	Granted/Denied in Part
14-00017-FOIA	11/5/2013	Any and all records referencing, relating to, or concerning Kottke Associates, LLC. Last known business address: 141 West Jackson Blvd., Suite 1220, Chicago, IL 60604. Records should include, from 1990 through present date: 1. All company manuals 2. Document retention policy 3. All business records 4. Records on "how they run their business"	Other Reasons - No records
14-00018-FOIA	11/6/2013	The Names, CUSIPs of the US Treasury bonds/notes which can be delivered for nearby quarters on the CBT Treasury contracts, along with the amount of the issue, issue date and bond/note expiration date.	Granted in Full
14-00019-FOIA	11/7/2013	(b)(6)	Granted/Denied in Part
14-00020-FOIA	11/25/2013	Subpoenas and Investigations	Granted in Full
14-00021-FOIA	11/8/2013	Records re (b)(6) et al.	Granted/Denied in Part
14-00022-FOIA	11/25/2013	Charges against Citigroup Inc., et al.	Granted/Denied in Part

14-00023-FOIA	11/13/2013	Investigative records re Barclays, et al. (foreign currency exchange market)	Denied in Full
14-00001-AP	11/11/2013	Appeal of 12-00115-FOIA	Completely Affirmed
14-00002-AP	11/8/2013	Appeal of 13-00109-FOIA	Completely Reversed/Remanded
14-00024-FOIA	11/15/2013	Silver price manipulation investigation	Other Reasons - Request withdrawn
14-00025-FOIA	11/15/2013	Statements of (b)(6) et al.	Other Reasons - Request withdrawn
14-00026-FOIA	11/16/2013	No FEAR Act Annual Reports	Granted/Denied in Part
14-00027-FOIA	11/8/2013	Guarantee Agreement or Agreements	Other Reasons - Fee-related reason
14-00028-FOIA	11/22/2013	List of CFTC employees, titles and salaries.	Granted in Full
14-00029-FOIA	11/26/2013	Lead Commodity Markets...records dated 2009 through present.	Other Reasons - No records
14-00030-FOIA	11/27/2013	JP Morgan Chase correspondence re metals warehousing businesses	Denied in Full
14-00031-FOIA	12/2/2013	Investigation re silver market and price manipulation	Granted/Denied in Part
14-00032-FOIA	12/3/2013	CFTC Inspector General's investigations of other agencies.	Other Reasons - No records
14-00033-FOIA	12/4/2013	Notices re 10/15/2012 ICE transition of cleared swap products to futures.	Granted/Denied in Part
14-00034-FOIA	12/4/2013	Identities of Commission registrants being investigated in connection with ICE transition.	Other Reasons - No records
14-00035-FOIA	12/6/2013	CFTC Docket No. 84-24	Granted in Full
14-00036-FOIA	12/11/2013	Bargaining Unit Eligible Employees	Granted in Full
14-00037-FOIA	12/19/2013	Copy of a the inspector general's investigative report into CME's complaints concerning the CFTC's research program for visiting academics	Denied in Full
14-00003-AP	12/19/2013	Appeal of FOIA Request Numbers 13-001114 and 14-0005	Partially Affirmed & Partially Reversed/Remanded
14-00038-FOIA	12/26/2013	Unnegotiated checks	Other Reasons - No records
14-00039-FOIA	12/26/2013	Copy of politic asylum case	Other Reasons - No records
14-00040-FOIA	12/27/2013	Employment Request and request for tax information re capital gains tax, interest earned, dividends paid on bonds... See request Description for details.	Other Reasons - No records
14-00041-FOIA	1/6/2014	Correspondence between the Senate Banking Committee or House Financial Services Committee dated between Jan. 2009 and the present	Granted/Denied in Part
14-00042-FOIA	1/10/2014	Copy of emails in the Inspector General's FOIA Office that contain the word '(b)(6)	Granted/Denied in Part
14-00043-FOIA	1/10/2014	Correspondence to or from the Central Intelligence Agency	Other Reasons - No records
14-00044-FOIA	1/10/2014	Request for Agency Operation Manual and System of Records	Other Reasons - Fee-related reason
14-00045-FOIA	1/10/2014	Commission records that pertain to WikiLeaks	Other Reasons - No records
14-00046-FOIA	1/15/2014	GFMA Report	Granted in Full
14-00047-FOIA	1/15/2014	FOIA log between 1/1/2013 and 1/15/2014	Granted in Full
14-00048-FOIA	1/18/2014	Emails containing (b)(6)	Granted in Full
14-00049-FOIA	1/29/2014	Recusal or non-participation forms since January 1, 2013	Denied in Full
14-00050-FOIA	1/29/2014	Access to BASIC database	Other Reasons - Not a proper FOIA request for some other reason
14-00051-FOIA	1/30/2014	Records re Contract CFOED12BP0128T0001	Granted/Denied in Part
14-00052-FOIA	2/2/2014	Contract CFIT-08-BP-0119	Granted/Denied in Part
14-00053-FOIA	2/6/2014	Inspector General's Final Investigative Report	Granted/Denied in Part
14-00054-FOIA	2/7/2014	2013 and 2014 Correspondence re nomination of Blythe Masters to GMAC.	Other Reasons - No records
14-00055-FOIA	2/6/2014	Certified copies of public land records - Commonwealth of VA...	Other Reasons - No records
14-00056-FOIA	2/7/2014	Communications with Brookings Institution, the Center for American Progress, etc.	Granted in Full
14-00057-FOIA	2/13/2014	All information re CFENF14CO0080	Granted/Denied in Part
14-00058-FOIA	2/2/2014	Task Order	Granted/Denied in Part
14-00059-FOIA	2/17/2014	CFTC Conference Room Modifications	Other Reasons - No records
14-00060-FOIA	2/19/2014	Action Plans by Swap Data Repositories	Denied in Full
14-00061-FOIA	2/24/2014	Letters from members of Congress to any CFTC commissioners, the CFTC chair and CFTC staff since Jan. 1, 2013 regarding regulatory proposals under the Dodd-Frank Act.	Granted/Denied in Part
14-00062-FOIA	2/25/2014	Documents filed by London Metal Exchange, CFTC or Third Parties	Other Reasons - Public Records
14-00063-FOIA	2/27/2014	Request for copies of all correspondence between U.S. Senator Mitch McConnell and the Commissioners, the Director of Legislative Affairs, and Deputy Director of Legislative Affairs from 1985 to the present (or as available).	Granted/Denied in Part
14-00064-FOIA	2/28/2014	All in Documents Comment File 92-10 re New York Mercantile Exchange Proposal to Implement NYMEX ACCES Electronic Trading System.	Granted/Denied in Part
14-00065-FOIA	3/4/2014	Nov 2013 FISMA Report from Independent Contractor/CPA Firm	Other Reasons - Request withdrawn

14-00066-FOIA	2/28/2014	1 FR forms, NFA ID#:0358241.....from 8/4/2005. to 2/13/2008. For Hamilton Williams LLC, NFA ID:0358241... 1 FRs and all supporting documents	Granted/Denied in Part
14-00067-FOIA	2/11/2014	For the time period 7/1/2006 to 12/31/2008, pursuant to Commission Rule 36.3, copies of ICE submissions, reports re financially-settled power swaps and any related documents.	Denied in Full
14-00068-FOIA	3/12/2014	Records re data security at CFTC's economist office.	Granted/Denied in Part
14-00069-FOIA	3/12/2014	IG report concerning chief economist.	Granted/Denied in Part
14-00070-FOIA	3/12/2014	Last 3 years' FISMA audits by OIG.	Granted/Denied in Part
14-00071-FOIA	3/13/2014	Barclays reports	Granted/Denied in Part
14-00072-FOIA	3/13/2014	CFENF14C00100	Granted/Denied in Part
14-00073-FOIA	3/14/2014	CFTC inspector general's report on the chief economists office, including all attachments and appendices.	Granted/Denied in Part
14-00074-FOIA	3/14/2014	Letter dated September 18, 2013 from ASX Group to the Division of Clearing and Risk	Granted/Denied in Part
14-00075-FOIA	3/17/2014	Housing/Apartment records.	Other Reasons - No records
14-00076-FOIA	3/17/2014	All Documents re investigation of manipulation of silver market between January 2007 and December 2013.	Granted/Denied in Part
14-00077-FOIA	3/18/2014	CFTC Renovations and Asbestos Abatement	Other Reasons - No records
14-00078-FOIA	3/20/2014	IG review KC office.	Other Reasons - No records
14-00079-FOIA	3/20/2014	IG review/information submitted by FCMs and RFEDs	Other Reasons - No records
14-00080-FOIA	3/24/2014	Correspondence between Christopher James Chris Christie and the Office of the Chairman of the Commodity Futures Trading Commission (including the Chairman) from 1995 to the present.	Granted/Denied in Part
14-00081-FOIA	3/24/2014	Any and all information on Investment advisor Dawn Bennett and Bennett group financial services between the dates of January 2009 and present date	Other Reasons - Fee-related reason
14-00082-FOIA	3/26/2014	1. May 1, 2013 Request for Interpretation of CFTC regulations applicable to Registered DCOs by North American Derivatives Exchange, Inc.; and 2. May1, 2013 Request for Exemption from Certain CFTC Regulations applicable to Registered DCOs by North American Derivatives Exchange	Granted in Full
14-00083-FOIA	3/27/2014	Binary Options - complaints, losses, fraudulent schemes	Other Reasons - No records
14-00084-FOIA	4/1/2014	Request for a copy of any written opinions submitted by your Designated Agency Ethics Official (DAEO) or the ADAEO, which was submitted or forwarded to the Office of Government of Ethics during the calendar years 2011, 2012, 2013, or 2014.	Other Reasons - No records
14-00085-FOIA	4/1/2014	Re the COT Report for S&P500 - Which positions are summarized; List of enterprises that are considered as producers; Definition of "producers"	Other Reasons - No records
14-00086-FOIA	4/2/2014	Documents re Loeb Partners Corporation - NFA ID 46	Granted/Denied in Part
14-00087-FOIA	4/7/2014	Information re 1 FR-FCMs/SORN CFTC-20 re AMP entities	Granted/Denied in Part
14-00088-FOIA	4/8/2014	CFTC Docket R 80-566-80-723 re Schor v. CFTC	Granted/Denied in Part
14-00089-FOIA	4/10/2014	Records relating to the Eighth Annual Capital Markets Summit	Other Reasons - No records
14-00090-FOIA	4/11/2014	Request for a copy of all CFTC documents regarding charges against and investigations of Farr Financial during the time period of 2003 through 2013.	Granted/Denied in Part
14-00091-FOIA	4/11/2014	Request for nonpublic records of DE Shaw & Co., and QVT Financial LP	Granted in Full
14-00092-FOIA	4/17/2014	Copies of FR-1-FCMs filed by Farr Financial from 2007 through 2010	Granted/Denied in Part
14-00004-AP	4/18/2014	Freedom of Information Act Appeal - 14-00067-FOIA ICE day-ahead electricity transactions and financially-settled power swaps	Completely Affirmed
14-00093-FOIA	4/22/2014	Commission's investigation records re US CFTC v. MBF Clearing Corp (12 CV 1830 (SDNY 2012))	Granted/Denied in Part
14-00094-FOIA	5/2/2014	TIGTA Report Delivered in 2011 or 2012, re 2010 Levine complaint	Granted/Denied in Part
14-00095-FOIA	5/8/2014	Records regarding financial statements of CFTC registrants	Granted/Denied in Part
14-00096-FOIA	5/8/2014	Communications between the Office of the White House Counsel and the CFTC Compliance Office and the Office of General Counsel Regarding the Review of CFTC Records	Other Reasons - No records
14-00097-FOIA	5/9/2014	Alphabetical listing of all current CFTC employees (no contractors)	Granted in Full
14-00098-FOIA	5/9/2014	The TEPPCO propane market	Other Reasons - No records
14-00099-FOIA	5/14/2014	Records re (b)(6) Complaints, Investigations, Preliminary Inquiries.	Granted/Denied in Part
14-00100-FOIA	5/15/2014	Visitor Logs	Granted/Denied in Part
14-00101-FOIA	5/15/2014	FOIA Log	Granted in Full
14-00005-AP	5/23/2014	Craig Linder, Assistant General Counsel, Counsel to Dow Jones & Company, publisher of The Wall Street Journal, appeals on behalf of Journal reporter Rob Barry - "seeking access to and copies of the database underlying the Background Affiliation Status Information Center ("BASIC") system..."	Completely Affirmed
14-00102-FOIA	6/6/2014	Copy of current contracts, purchase and delivery orders for online legal research services with Accurant	Other Reasons - No records
14-00103-FOIA	6/4/2014	Records from FOIA Request File "10-0091"	Granted/Denied in Part
14-00104-FOIA	6/4/2014	Records in CFTC FOIA Request File 09-0158	Granted in Full
14-00105-FOIA	6/11/2014	Copy of all FOIA Requests from 1992 through June 4, 2014 (Date Range for Record Search: From 01/01/1992 To 06/11/2014)	Granted/Denied in Part

14-00106-FOIA	6/4/2014	Request for records in response to FOIA Request No. 11-00151	Denied in Full
14-00107-FOIA	6/4/2014	Files re RCTs by New York Mercantile Exchange (NYMEX) re January 23, 1992 proposed rules.	Granted/Denied in Part
14-00108-FOIA	6/4/2014	FOIA Requests re New York Mercantile Exchange (NYMEX) January 23, 1992 proposed rules	Granted/Denied in Part
14-00109-FOIA	6/10/2014	Questions and Answers re Questions for the Record, from January 1, 2014 to present	Granted/Denied in Part
14-00110-FOIA	6/4/2014	Request for production of all records in CFTC FOIA Request File 06-0128	Granted/Denied in Part
14-00111-FOIA	6/10/2014	Investigation of Vision Capital FX/Adam Cargill	Other Reasons - Fee-related reason
14-00112-FOIA	6/4/2014	Request for Records in CFTC FOIA Request File No. 10-0078	Granted in Full
14-00113-FOIA	6/11/2014	List of Settlement Agreements Entered in Calendar Year 2013	Other Reasons - Public Records
14-00114-FOIA	6/12/2014	Request copies of all incoming-and-outgoing correspondence between the Commissioners, the Office of Legislative Affairs, and Michael Frederick Mike McFadden from January 1, 1993 to the present (or as available)	Other Reasons - No records
14-00115-FOIA	6/18/2014	Minutes of a meeting held on 11/2/2010 between Gary Gensler, Rosemary Hollinger and Jump Trading LLC executives Bill DiSomma, Paul Gurinas and Matt Schreengost.	Other Reasons - No records
14-00116-FOIA	6/23/2014	Copies of all requests filed under the FOIA from 1/1/2000 to 3/29/2014 submitted by entities and their legal representatives (see request description for list)	Granted in Full
14-00117-FOIA	6/24/2014	Non-public registration information for various registrants	Granted/Denied in Part
14-00118-FOIA	6/24/2014	Non-public registration records of Rieden, Misra, and Solsvig III	Granted/Denied in Part
14-00119-FOIA	7/9/2014	Transcripts of Conversations passed to the CFTC by Barclays...Communications between CFTC and their counterparts at DOJ, U.K.'s Financial Services Authority/FCS re CFTC investigation in Libor and Euribor manipulation...Transcripts of Interviews - Mirhat Alykulov, Mark Dearlove, Peter Johnson, Jerry Del Missier, Philippe Moryoussef, Jay Merchant and Bob Diamond...CFTC emails...Steve Obie, Anne Termine, Gretchen Lowe, Vince McGonagle, et al.	Denied in Full
14-00120-FOIA	7/11/2014	Form 1-FR-FCM filed for companies: Advantage, McVean, Rand, Rosenthal, Interactive, RJ O'Brien and TD Ameritrade	Granted/Denied in Part
14-00121-FOIA	7/11/2014	Letters between Jeb Hensarling and CFTC, sent by US mail, email and other methods of delivery.	Granted in Full
14-00122-FOIA	7/11/2014	Letters between Maxine Waters and CFTC, sent by US mail, email and other methods of delivery.	Granted in Full
14-00123-FOIA	7/11/2014	Letters between Patrick McHenry and CFTC, sent by US mail, email and other methods of delivery.	Other Reasons - No records
14-00124-FOIA	7/11/2014	Letters between Tim Johnson and CFTC, sent by US mail, email and other methods of delivery.	Granted in Full
14-00125-FOIA	7/11/2014	Letters between Mike Crapo and CFTC, sent by US mail, email and other methods of delivery.	Granted in Full
14-00126-FOIA	7/11/2014	Letters between Sherrod Brown and CFTC, sent by US mail, email and other methods of delivery.	Granted in Full
14-00127-FOIA	7/11/2014	Letters between Mark Warner and CFTC, sent by US mail, email and other methods of delivery.	Other Reasons - No records
14-00128-FOIA	7/11/2014	Letters between David Vitter and CFTC, sent by US mail, email and other methods of delivery.	Other Reasons - No records
14-00129-FOIA	7/11/2014	Letters between Bob Corker and CFTC, sent by US mail, email and other methods of delivery.	Granted in Full
14-00130-FOIA	7/11/2014	Letters between Elizabeth Warren and CFTC, sent by US mail, email and other methods of delivery.	Granted/Denied in Part
14-00006-AP	7/21/2014	Appeal of 14-00049-FOIA	Partially Affirmed & Partially Reversed/Remanded
14-00131-FOIA	7/21/2014	Any and all statements filed with the General Counsel between January 1, 2012, and June 30, 2014, pursuant to 17 CFR 140.735-6(e) and the responses	Granted in Full
14-00132-FOIA	7/23/2014	Request for any and all notices, filings or waivers by Commissioner Scott O'Malia (or his staff on behalf of O'Malia) concerning discussions with outside parties for future employment from January 1, 2014 to July 23, 2014	Granted/Denied in Part
14-00133-FOIA	7/23/2014	Forms - see request description.	Other Reasons - Not an agency record
14-00134-FOIA	7/25/2014	All information, including contract description, justification and work (or description of work) rendered, under federal contract ID: CFHRB14D00091	Granted/Denied in Part
14-00135-FOIA	7/25/2014	An electronic/digital copy of the CFTC FOIA Case Log for the time period January 2008 to the present.	Granted in Full
14-00136-FOIA	7/25/2014	CFTC 2014 Chief FOIA Officer Report	Granted in Full
14-00137-FOIA	7/29/2014	Various OIG Reports	Granted/Denied in Part
14-00138-FOIA	7/29/2014	In Re: CFTC v. Capital Blu; Middle District of Florida Case No. 6:09-cv-508-ORL-29-DAB	Other Reasons - No records
14-00139-FOIA	8/14/2014	CFTC v. Capital Blu; Middle District of Florida Case No. 6:09-cv-508-ori-28-DAB Deposition Transcript for Marsha L. Lyons	Other Reasons - Request withdrawn
14-00140-FOIA	7/28/2014	Interactive Brokers Complaints and Investigations, etc...	Granted/Denied in Part
14-00141-FOIA	7/28/2014	Request for a mapping table of CFTC contract market codes to Exchange, Exchange Commodities Code. This is stored in the Exchange Commodity Table of the ISIS system.	Other Reasons - Public Records
14-00142-FOIA	7/31/2014	Request for forms to start a new commodities exchange.	Other Reasons - Not an agency record
14-00143-FOIA	8/4/2014	All communications and records of communications (including letters, e-mails, appointment calendars and phone conversations) between the CFTC Inspector general's office and Congress since January 2012.	Other Reasons - Request withdrawn
14-00144-FOIA	8/4/2014	Communications between Commissioner O'Malia, or members of his office, and ISDA in the period starting Jan. 1, 2014. I am also requesting any logs of visitors to O'Malia's office and that of his staff during that period.	Granted/Denied in Part
14-00145-FOIA	8/14/2014	A copy of any and all reports filed since 2012 by the Chief Compliance Officers for various registered swap dealers. These are public documents as outlined in CFTC regulations and not prohibited from disclosure under agency rules.	Denied in Full

14-00146-FOIA	8/18/2014	Net Capital Deficiency Reports and Notices Transmitted by Interactive Brokers During January and August of the Year 2011:	Other Reasons - No records
14-00147-FOIA	8/18/2014	A copy of the CFTC inspector general's: Audit of CFTC's Resource Allocation on Information Technology for Achieving its Strategic Regulatory Goals of Ensuring Sound Markets, Mitigating Systemic Risk, and Monitoring Intermediaries	Other Reasons - No records
14-00148-FOIA	8/18/2014	A copy of: An Investigation of Allegations of Wrongdoing In Connection with the Release of the Interim Report on Crude Oil Prepared by the Interagency Task Force on Commodity Markets: REPORT OF INVESTIGATION	Granted/Denied in Part
14-00149-FOIA	8/20/2014	All quarterly risk disclosure reports filed since 2012 to the CFTC by various registered swap dealers pursuant to the CFTC's final Dodd-Frank recordkeeping and registration rules, including but not limited to 23.600(c)(2)(ii)	Denied in Full
14-00150-FOIA	8/20/2014	Request to the Securities and Exchange Commission for correspondence between members of the U.S. Congress and the SEC Chairman's office since July 21, 2010 regarding Dodd-Frank	Other Reasons - No records
14-00151-FOIA	8/22/2014	Request for copies of incoming and outgoing correspondence between the Chairperson, the Executive Director, the Board Commissioners, the Director of Legislative Affairs and various public officials listed	Granted/Denied in Part
14-00152-FOIA	8/22/2014	Information Concerning Monex Deposit Company, Monex Credit Company, Newport Service Corporation, Pacific Coast Coin Exchange, Monex International, and Commission Jurisdiction	Granted/Denied in Part
14-00153-FOIA	8/28/2014	Information relevant to CFTC job announcement #SOL-2014-0006, position title: Attorney - Advisor, CFTC-DCR-2014-0002	Granted/Denied in Part
14-00154-FOIA	9/4/2014	Request access to any written communications over recusals between a CFTC designated ethics officer and Commissioner J. Christopher Giancarlo.	Granted/Denied in Part
14-00155-FOIA	9/8/2014	A copy of any all letters from agency's DSIO in July 2014 to Goldman Sachs, JPMorgan, Morgan Stanley, Bank of America and Citigroup on overseas trading and parent de-guarantee issues. Any any all responses to CFTC to date from aforementioned banks pursuant to the division's letter.	Granted/Denied in Part
14-00007-AP	9/8/2014	Appeal of FOIA Number 14-00064	Completely Affirmed
14-00156-FOIA	9/5/2014	CFTC letters to and from Deutsche Bank and internal CFTC memoranda and other relevant materials from 2012 - present dealing with Deutsche Bank's trade reports and calculations of borrowing levels relative to client collateral, as well as general compliance, trade reporting and risk management.	Other Reasons - Records not reasonably described
14-00157-FOIA	9/9/2014	A copy of all records submitted on or after January 1, 2014, by or on behalf of any derivatives clearing organization, designated contract market or swap execution facility and relating to a request for a determination by the Commission that non-deliverable foreign exchange forward contracts be made subject to mandatory clearing requirements and/or be made available to trade	Granted/Denied in Part
14-00158-FOIA	9/10/2014	Seeking the email address of NFA CTA and CPOs members for the purpose of communicating with them to support petition as a representative in their class on the NFA board.	Other Reasons - No records
14-00159-FOIA	9/12/2014	Requesting a copy of the Head Start grant application submitted by Community Action Agency of Columbiana County (Lisbon, Ohio)	Other Reasons - No records
14-00160-FOIA	9/12/2014	Alphabetical listing of all current CFTC employees (no contractors) showing Last Name, First Name, Title, Division, Telephone Number and City.	Granted in Full
14-00161-FOIA	9/15/2014	Responsive records to 10-00099-FOIA and 12-00017-FOIA	Granted/Denied in Part
14-00162-FOIA	9/17/2014	Request for a copy of the records labeled as "nonresponsive" in FOIA case 14-00042-FOIA.	Granted/Denied in Part
HQ-Cong-14-00001	9/26/2014	United States Senate Permanent Subcommittee on Investigations (the "Subcommittee") investigation into bank involvement with physical commodities.	Granted/Denied in Part
HQ-Cong-14-00002	9/26/2014	aluminum	Granted/Denied in Part
14-00008-AP	9/29/2014	Appcal of 14-00158-FOIA	Completely Affirmed
14-00163-FOIA	9/29/2014	All registered individuals at Hamilton Williams LLC. ID No# 0358241 from August 4,2005 through February 13,2008.	Granted/Denied in Part
15-00001-FOIA	10/1/2014	Request for emails, text messages and audio files relating to the CFTC case against JP Morgan Chase Bank, N.A.	Other Reasons - Request withdrawn
15-00002-FOIA	10/2/2014	Request for information or records regarding all Freedom of Information Act requests received by the Commodity Futures Trading Commission (CFTC) from January 1, 2007 to September 29, 2014	Granted in Full
15-00003-FOIA	10/7/2014	Records regarding the departure/resignation of Bart Chilton	Granted/Denied in Part
15-00004-FOIA	10/8/2014	Request for 2013 Annual Report and Official Sponsored Publications, Books and Magazines	Other Reasons - Public Records
15-00005-FOIA	10/14/2014	I am seeking a list of correspondences between the CFTC and members of Congress and their offices from January 2007 and January 2014.	Granted/Denied in Part
15-00001-AP	10/16/2014	Appeal of 14-00145-FOIA	Completely Affirmed
15-00006-FOIA	10/17/2014	Correspondence between CFTC Commissioner Mark Wetjen and any employee or representative of Koch Industries, between the dates of January 1, 2010 and December 31, 2012.	Other Reasons - No records
15-00007-FOIA	10/17/2014	Records of any meetings between CFTC Commissioner Mark Wetjen and any employee or representative of Koch Industries, between the dates of January 1, 2010 and December 31, 2012.	Other Reasons - No records
15-00008-FOIA	10/17/2014	All correspondence including emails, records of phone calls and letters between former CFTC chairman Gary Gensler and CFTC commissioners, chairmen, commissioners' office staff, chairmen's office staff and CFTC division directors since Mr. Gensler left the agency on January 3, 2014.	Granted/Denied in Part
15-00009-FOIA	10/20/2014	Request a copy of all FOIA requests submitted to the CFTC, regardless of their final disposition from January 2011 to October 2014,	Granted/Denied in Part
15-00010-FOIA	10/23/2014	Deposition transcript of James Traynor, taken on behalf of the Plaintiff, United States Attorney's Office, on January 13, 2012 in Civil Action No. 09cv0578	Granted/Denied in Part
15-00011-FOIA	10/24/2014	Michael Paul Dever ,NFA #48768	Granted/Denied in Part
15-00012-FOIA	10/28/2014	Request for information and compliance decisions regarding the CME/NYMEX exchange for Light Sweet Crude Oil (WTI) futures.	Granted/Denied in Part
15-00013-FOIA	10/31/2014	General information on commodity trading	Granted in Full
15-00014-FOIA	11/6/2014	Records relating to the CFTC Administrative Action: George V. Zinck, Complainant v. Thomson, McKinnon Securities, Inc, Billie Schachner and Crawford M Sites. Respondents. CFTC Docket No. R 78-189-190	Granted in Full
15-00015-FOIA	11/7/2014	A listing of all current CFTC staff, including name, title, pay plan, series, grade, base salary, total salary, SCD leave date, CFTC start date, date in grade, and division; also include records showing any type of award or recognition, including monetary and time-off awards.	Granted/Denied in Part

15-00016-FOIA	11/13/2014	From NFA; non-public NFA Registration Information	Granted/Denied in Part
15-00017-FOIA	11/13/2014	Non-public NFA Registration Information	Granted/Denied in Part
15-00018-FOIA	11/18/2014	Various records concerning the Commission's investigation and prosecution of Eric Moncada, BES Capital LLC, or Serdika LLC; information or records concerning trading of #2 Soft Red Winter Wheat Futures Contract.	Other Reasons - Request withdrawn
15-00019-FOIA	11/18/2014	Registration documents for NYBX Inc., LedgerX LLC, and NYBX Management LLC; all applications of entities that propose to create or trade Bitcoin-related derivatives.	Other Reasons - Request withdrawn
15-00020-FOIA	11/20/2014	Telephone conversation passed to CFTC in or about April 2010 relating to the LIBOR investigation at Barclays; conversation between Mark Dearlove and Peter Johnson.	Denied in Full
15-00021-FOIA	11/24/2014	FOIA logs from January 1, 2011 through present. (Date Range for Record Search: From 01/01/2011 To 11/24/2014)	Granted/Denied in Part
15-00022-FOIA	11/24/2014	CFTC Record Retention Schedule	Granted in Full
15-00023-FOIA	11/25/2014	Documents, memos, communications, correspondence, emails, reports, affidavits, declarations, transcripts, witness statements, or any other documents that mention or reference (b)(6) from 1980 to present (Date Range for Record Search: From 01/01/1980 To 11/25/2014)	Denied in Full
15-00024-FOIA	12/4/2014	Information or records concerning Matter of JPMorgan Chase Bank, CFTC Docket No. 12-37; information or records concerning trading (in Sept. and Oct. 2010) and expiration of Cotton No. 2 futures contract on ICE	Granted/Denied in Part
15-00025-FOIA	12/4/2014	Information concerning the Matter of Weidong Ge and Sheenson Investments LTD., CFTC Docket No. 12-35; information about trading and expiration of Cotton No. 2 futures contract on ICE in January 2011, February 2011, and July 2011.	Granted/Denied in Part
15-00001-CONS	12/4/2014	Consultation -(b)(6) requested records on himself from the FBI. FBI records contain information concerning CFTC.	Granted in Full
15-00001-REF	12/4/2014	Referral from FBI - requester is seeking information about self and being on a White Collar Criminals List; the records include letters to the FBI about our investigation and file of (b)(6)	Granted/Denied in Part
15-00026-FOIA	12/9/2014	Information from COMEX or similar - High Grade Copper Future closing prices for all of November 2004 through March 2005, including future prices since the same day up to 5 years in the future. (Date Range for Record Search: From 11/01/2004 To 03/31/2005)	Other Reasons - Not an agency record
15-00027-FOIA	12/10/2014	Information referred to or relied upon in the CFTC's order against Merrill Lynch Commodities, CFTC Docket No. 12-05; ICE March 2011 Cotton No. 2 futures, and Merrill Lynch's trading of such. (Date Range for Record Search: From 01/01/2011 To 02/28/2011)	Other Reasons - Request withdrawn
15-00028-FOIA	12/10/2014	Information referred to or relied on in the CFTC Order against Australia and New Zealand Banking Group, Ltd., CFTC Docket No. 12-36; information concerning their trading of ICE Cotton No. futures contract in August 2010 and February 2011.	Granted/Denied in Part
15-00029-FOIA	12/10/2014	OTG reports, etc., about closed investigations involving pornography or misuse of government computers for 2011, 2012, 2013, and 2014.	Other Reasons - No records
15-00030-FOIA	12/19/2014	All documents received or produced in any and all investigations and litigations adverse to (b)(6) and Paron Capital Management, LLC.	Granted/Denied in Part
15-00031-FOIA	12/19/2014	Letter dated November 26, 2014, from DCR to The Clearing Corporation of India Ltd.	Granted in Full
15-00032-FOIA	12/29/2014	Pending or current regulatory or criminal investigation of (b)(6) personally and in his capacity as officer of FDO Partners, LLC, for the last ten years. (Date Range for Record Search: From 12/29/2004 To 12/29/2014)	Other Reasons - No records
15-00033-FOIA	12/29/2014	Pending or current regulatory or criminal investigation of (b)(6) personally and in his capacity as employee of Typhon Capital Management, LLC, for past ten years. (Date Range for Record Search: From 12/29/2004 To 12/29/2014)	Other Reasons - No records
15-00034-FOIA	12/29/2014	Pending or current regulatory or criminal investigation of (b)(6) personally and in his capacity as an officer of Zoi Capital, LLC, for past ten years. (Date Range for Record Search: From 12/29/2004 To 12/29/2014)	Other Reasons - No records
15-00035-FOIA	12/29/2014	Pending or current regulatory or criminal investigation of (b)(6) personally and in his capacity as an officer of ROW Asset Management, LLC, for past ten years. (Date Range for Record Search: From 12/29/2004 To 12/29/2014)	Other Reasons - No records
15-00036-FOIA	12/29/2014	Pending or current regulatory or criminal investigation of (b)(6) personally and in his capacity as an officer of Gamma Q, LLC, for past ten years. (Date Range for Record Search: From 12/29/2004 To 12/29/2014)	Other Reasons - Request withdrawn
15-00037-FOIA	12/31/2014	For 2010, 2011, 2012, 2013, & 2014 - Number of Matters Under Inquiry opened & closed; number of investigations opened & closed.	Granted in Full
15-00038-FOIA	1/5/2015	Statements filed with OGC between 1/1/10 through 12/31/14 - former CFTC members/employees who, w/in 2 yrs of leaving CFTC, were employed or retained by outside parties on matters which they expected to appear before the Commission. (Date Range for Record Search: From 01/01/2010 To 12/31/2014)	Granted/Denied in Part
15-00039-FOIA	1/6/2015	Foreign exchange chatroom logs from 2009-2012 that CFTC based decision to levy fines on Citi, UBS, HSBC, JPM, & RBS.	Denied in Full
15-00040-FOIA	1/13/2015	Correspondence between CFTC and Elise J. (Josan) Bean, an employee of the US Senate	Granted/Denied in Part
15-00041-FOIA	1/13/2015	Documents and communications relating to Barclays PLC and Libor	Denied in Full
15-00042-FOIA	1/15/2015	Non-public registration documents for Jay Steven Wintrob (NFA #454497)	Granted/Denied in Part
15-00043-FOIA	1/16/2015	Reports prepared by the "monitor" required by October 2011 settlement between Forex Capital Markets and CFTC	Granted/Denied in Part
15-00044-FOIA	1/20/2015	License information -(b)(6)	Granted/Denied in Part
15-00045-FOIA	1/21/2015	Information and records regarding CFTC Letter No. 14-134	Granted in Full
15-00046-FOIA	1/23/2015	CFTC Staff Private Guidance Letter that describes the CFTC exemptive approach including application procedures, eligibility requirements and limitation of exempt DCO status for non-US clearinghouses.	Granted in Full
15-00047-FOIA	1/23/2015	Alphabetical listing of all current CFTC employees (no contractors) showing Last Name, First Name, Title, Division, Telephone Number and City.	Granted in Full
15-00048-FOIA	1/26/2015	Farr Financial Inc. v. Lundquist & Associates LLP	Other Reasons - Not an agency record
15-00049-FOIA	1/27/2015	Trades that were clear port and/or ICE entered for OTC nat gas desk for the firm of McNamara Options aka, dba, McNamara Options LLC	Other Reasons - Request withdrawn
15-00050-FOIA	1/27/2015	Any and all correspondence between officials and/or staff of the CFTC and Koch Industries Supply and Trading	Granted/Denied in Part
15-00051-FOIA	1/30/2015	Information referred to or relied on in the CFTC Order against Olam International, Ltd. and Olam Americas, Inc., CFTC Docket No. 15-13; information concerning their trading of ICE Cocoa futures in February 2011, February 2012, and April 2012; reports provided by Olam. (Date Range for Record Search: From 02/01/2011 To 04/31/2013)	Other Reasons - Request withdrawn

15-00052-FOIA	1/30/2015	Commission papers concerning high-frequency trading & automated trading for 1998 through present. (Date Range for Record Search: From 01/01/1998 To 01/30/2015)	Other Reasons - Request withdrawn
15-00053-FOIA	1/30/2015	Commission information about spoofing for 2010 through present (Date Range for Record Search: From 01/01/2010 To 01/30/2015)	Granted in Full
15-00054-FOIA	1/30/2015	Underlying database for NFA's BASIC	Other Reasons - Not an agency record
15-00055-FOIA	2/2/2015	Data enumerating the total number of special calls issued annually for each of the years 2008 through 2014, and the total annual number of recipients of special calls for each of the years 2008 through 2014	Other Reasons - No records
15-00056-FOIA	2/2/2015	A copy of the official building visitor log to the CFTC, including the name of visitor, date of visit, time in, time out, and person or office to whom the visitor is seeing from May 1, 2014 to the present day	Granted/Denied in Part
15-00057-FOIA	2/2/2015	A copy of Commissioner Chris Giancarlo's personal meeting schedule, from the time he took office as a commissioner on June 16, 2014 through present.	Granted in Full
15-00058-FOIA	2/2/2015	A copy of all emails between CFTC Commissioner Chris Giancarlo, his staff and any company officials, lobbyists, attorneys, public affairs representatives, or trade associations who are representing the interests of the swap execution facility (SEF) industry from June 16, 2014 through present.	Granted/Denied in Part
15-00059-FOIA	2/3/2015	Daily data for options on Eurodollar futures from 2008 to the present.	Denied in Full
15-00060-FOIA	2/4/2015	A list or schedule of all external meetings held by Chairman Timothy Massad during the year 2014, including the date, time, location and participants in the meetings.	Granted in Full
15-00061-FOIA	2/3/2015	A list or schedule of all external meetings held by Chairman Gary Gensler during the year 2014, including the date, time, location and participants in the meetings.	Other Reasons - No records
15-00062-FOIA	2/4/2015	A list or schedule of all external meetings held by Commissioner Mark Wetjen during the year 2014, including the date, time, location and participants in the meetings.	Granted in Full
15-00063-FOIA	2/4/2015	A list or schedule of all external meetings held by Commissioner Bart Chilton during the year 2014, including the date, time, location and participants in the meetings.	Other Reasons - No records
15-00064-FOIA	2/4/2015	A list or schedule of all external meetings held by Commissioner Sharon Bowen during the year 2014, including the date, time, location and participants in the meetings.	Other Reasons - No records
15-00065-FOIA	2/4/2015	A list or schedule of all external meetings held by Commissioner J. Christopher Giancarlo during the year 2014, including the date, time, location and participants in the meetings.	Granted in Full
15-00066-FOIA	2/4/2015	A list or schedule of all external meetings held by Commissioner Scott O'Malia during the year 2014, including the date, time, location and participants in the meetings.	Other Reasons - No records
15-00067-FOIA	2/4/2015	A list or schedule of all external meetings held by Commissioner Jill Sommers during the year 2013, including the date, time, location and participants in the meetings.	Other Reasons - No records
15-00075-FOIA	2/18/2015	List of all direct examinations of FCMs and RFEDs conducted between January 1, 2012 and February 16, 2015	Denied in Full
15-00076-FOIA	2/18/2015	The number of referrals to the Department of Justice for alleged obstruction of justice and/or perjury relating to an CFTC investigation for fiscal years 2010 to date	Other Reasons - No records
15-00077-FOIA	2/19/2015	Any and all records that pertain to the investigation and pending enforcement action set to be taken against BP PLC	Denied in Full
15-00078-FOIA	2/26/2015	Current list of firms and registered brokers that deal in in commodities and futures.	Granted in Full
15-00079-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against (b)(6)	Other Reasons - No records
15-00080-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of Blackwater Capital Management	Other Reasons - No records
15-00081-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against (b)(6)	Other Reasons - No records
15-00082-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of Briarwood Capital Management, now Briarwood Molinero International	Other Reasons - No records
15-00083-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of Caddo Capital Management, LLC	Other Reasons - No records
15-00084-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of Cloughton Capital, LLC	Other Reasons - No records
15-00085-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of Covenant Capital Management, LLC	Other Reasons - No records
15-00086-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of Crystal Tower Advisors, LLC	Other Reasons - No records
15-00087-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of Diamond Peak Capital, LLC	Other Reasons - No records
15-00088-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of EMC Capital Advisors, LLC	Other Reasons - No records
15-00089-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of FDO Partners, LLC	Other Reasons - No records
15-00090-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of Flyberry Capital, LLC	Other Reasons - No records
15-00091-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of Gamma-Q, LLC	Other Reasons - No records
15-00092-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of Harbour Square Capital Management, LLC	Other Reasons - No records
15-00093-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of M6 Capital Management, LLC	Other Reasons - No records

15-00094-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of <u>Merolius Capital Management</u>	Other Reasons - No records
15-00095-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against (b)(6) personally, and in his capacity as an officer of <u>Pacific Capital Advisors, LLC</u>	Other Reasons - No records
15-00096-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of <u>OERI, LLC</u>	Other Reasons - No records
15-00097-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of <u>ROW Asset Management, LLC</u>	Other Reasons - No records
15-00098-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of <u>Sandozier Asset Management, LLC</u>	Other Reasons - No records
15-00099-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of <u>SCT Capital Management, LLC</u>	Other Reasons - No records
15-00100-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of <u>Tradelink Holdings, LLC</u>	Other Reasons - No records
15-00101-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers managed by <u>Tynphon Capital Management</u>	Other Reasons - No records
15-00102-FOIA	2/26/2015	Any and all records within the last ten years pertaining to a prior, pending or current, regulatory or criminal investigation(s) or action(s) against officers of <u>Zoi Capital, LLC</u>	Other Reasons - No records
15-00002-FPA	3/27/2015	Information from 1992 through present (see clarification email - information about herself and/or (b)(6) from 1992 until present) (Date Range for Record Search: From 01/01/1992 To 03/02/2015)	Other Reasons - Fee-related reason
15-00103-FOIA	3/4/2015	All communications between the CFTC Office of Public Affairs and David Evans, Bloomberg; Silla Brush, Bloomberg; Robert Schmidt, Bloomberg; and Katy Burne, <u>Wall Street Journal</u> between March 1, 2014 and the present.	Granted/Denied in Part
15-00104-FOIA	3/4/2015	All credit chat logs released to the public domain by public affairs or as exhibits in enforcement orders and settlements during 2012-2013 related to the CFTC's decision to levy penalties on UBS, Rabobank, Barclays, RBS, Lloyds Bank, ICAP, Deutschebank, JP Morgan and Citi for LIBOR rate manipulation	Other Reasons - Public Records
15-00105-FOIA	3/4/2015	All foreign exchange chats released to the public domain by public affairs or as exhibits in enforcement orders and settlements during 2014-2015 related to the CFTC's decision to levy penalties on Citi, UBS, HSBC, JP Morgan, and RBS for foreign exchange benchmark manipulation.	Other Reasons - Public Records
15-00106-FOIA	3/4/2015	All foreign exchange chatroom logs related to the enforcement order and settlement between the CFTC and UBS (CFTC Docket No. 15 06) dated November 11, 2014.	Denied in Full
15-00107-FOIA	3/4/2015	All foreign exchange chatroom logs related to the enforcement order and settlement between the CFTC and Citi (CFTC Docket No. 15 03) dated November 11, 2014.	Denied in Full
15-00108-FOIA	3/4/2015	All foreign exchange chatroom logs related to the enforcement order and settlement between the CFTC and RBS (CFTC Docket No. 15 05) dated November 11, 2014.	Denied in Full
15-00109-FOIA	3/4/2015	All foreign exchange chatroom logs related to the enforcement order and settlement between the CFTC and HSBC (CFTC Docket No. 15 07) dated November 11, 2014.	Denied in Full
15-00110-FOIA	3/4/2015	All foreign exchange chatroom logs related to the enforcement order and settlement between the CFTC and JP Morgan (CFTC Docket No. 15 04) dated November 11, 2014.	Denied in Full
15-00111-FOIA	3/11/2015	May 1, 2013, letter from North American Derivatives Exchange (Nadex) to DCR	Granted in Full
15-00112-FOIA	3/11/2015	NFA 8-R Forms - Edward Patrick Garden (NFA #0346850)	Other Reasons - Request withdrawn
15-00113-FOIA	3/12/2015	Copies of (or access to) any communications between agency staff or officials and any staff or officials representing the office of Florida Senator Rand Paul from the dates Feb. 1, 2011-December 1, 2014.	Other Reasons - No records
15-00114-FOIA	3/12/2015	Copies of (or access to) any communications between agency staff or officials and any staff or officials representing the office of Texas Senator Ted Cruz from the dates Feb. 1, 2013-December 1, 2014.	Granted/Denied in Part
15-00115-FOIA	3/12/2015	Copies of (or access to) any communications between agency staff or officials and any staff or officials representing the office of Florida Senator Marco Rubio from the dates Feb. 1, 2011-December 1, 2014.	Other Reasons - No records
15-00116-FOIA	3/12/2015	Copies of (or access to) any communications between agency staff or officials and any staff or officials representing the office of Florida Governor Jeb Bush from the dates Feb. 1, 1999-January 1, 2007.	Other Reasons - No records
15-00117-FOIA	3/12/2015	Information: Pursuant to the Freedom of Information Act, 5 U.S. C. et seq ("FOIA"), I request copies of (or access to) any communications between agency staff or officials and any staff or officials representing the office of Louisiana Governor Bobby Jindal, including but not limited to: electronic communications, written communications and/or scheduled meetings on calendars and Freedom of Information Act requests from the dates Feb. 1, 208-December 1, 2014.	Other Reasons - No records
15-00118-FOIA	3/12/2015	Copies of (or access to) any communications between agency staff or officials and any staff or officials representing the office of New Jersey Governor Chris Christie, from the dates Feb. 1, 2008-December 1, 2014.	Granted/Denied in Part
15-00119-FOIA	3/13/2015	How many NFA members have reported incidents to the CFTC relating to cyber-crime and cyber-security in a) 2014 and b) 2013?	Other Reasons - No records
15-00120-FOIA	3/18/2015	E-mails, appointment log records, calendar entries and/or telephone records from the Office of Commissioner Giancarlo that reference Richard Painter between January 21, 2015 and March 18, 2015.	Granted/Denied in Part
15-00121-FOIA	3/18/2015	Correspondence and Emails in Commissioner Giancarlo's Office Regarding Bloomberg	Granted/Denied in Part
15-00122-FOIA	3/18/2015	Appointment calendar entries, appointment logs or telephone records that show meetings and/or the daily schedule of Commissioner J. Christopher Giancarlo any date between June 16, 2014 and March 18, 2015.	Granted/Denied in Part
15-00123-FOIA	3/18/2015	Information Regarding Paralegal Specialist Vacancy Ann. CFTC-DOE-2015-0009	Other Reasons - Fee-related reason
15-00124-FOIA	3/23/2015	All documentation related to the CFTC database in which registration records for individuals registered with the Commission are held	Granted in Full
15-00125-FOIA	3/27/2015	Request for prospectus	Other Reasons - No records
15-00002-AP	3/27/2015	Appeal of decision to deny expedited processing of 15-00121-FOIA	Completely Affirmed
15-00126-FOIA	3/31/2015	Publicly available registration documents and related information on file with NFA for Farr Financial and Omid Farr from 2003 through 2013	Granted/Denied in Part

15-00127-FOIA	4/2/2015	Documents Related to ALJ Services	Granted/Denied in Part
15-00128-FOIA	4/7/2015	Periodic exam of the National Futures Association.	Other Reasons - No records
15-00129-FOIA	4/7/2015	Review of CME Group's arbitration process	Other Reasons - No records
15-00130-FOIA	4/8/2015	A copy of the log of requests to the CFTC made under the Freedom of Information Act (FOIA) since Jan. 1, 2015	Granted in Full
15-00131-FOIA	4/15/2015	In re CFTC v. Kraft Foods Group and Mondelez Global LLC	Denied in Full
15-00132-FOIA	4/16/2015	Alphabetical listing of all current CFTC employees (no contractors)	Granted in Full
15-00133-FOIA	4/23/2015	Records, including e-mails and letters, to Bloomberg LP and/or any of its representatives that request any reproductions, of chat logs and e-mails sent through the Bloomberg Professional service from January 1, 2010 through April 23, 2015.	Other Reasons - No records
15-00134-FOIA	4/24/2015	Public and Non-Public Records of Marc Furstien	Granted in Full
15-00135-FOIA	4/24/2015	Copies of all e-mails between Andrei Kirilenko, former CFTF economist, and employees of the Chicago Mercantile Exchange (a.k.a. CME Group) between the dates of May 1st, 2010, and October 3rd, 2010.	Other Reasons - No records
15-00136-FOIA	4/24/2015	Copies of all e-mails between Harold Hild, senior economist in the division of market oversight, and employees of the Chicago Mercantile Exchange (a.k.a. CME Group, i.e. including e-mails ending in cmenroup.com) between the dates of May 1st, 2010, and October 3rd, 2010.	Granted/Denied in Part
15-00137-FOIA	4/24/2015	Copies of all e-mails between John Polise, associate director in the division of market oversight, and employees of the Chicago Mercantile Exchange (a.k.a. CME Group, i.e. including e-mails ending in cmenroup.com) between the dates of May 1st, 2010, and October 3rd, 2010.	Other Reasons - No records
15-00138-FOIA	4/24/2015	Copies of all e-mails between Richard Shilts, former director of the division of market oversight, and employees of the Chicago Mercantile Exchange (a.k.a. CME Group, i.e. including e-mails ending in cmenroup.com) between the dates of May 1st, 2010, and October 3rd, 2010.	Other Reasons - No records
15-00139-FOIA	5/4/2015	A copy of the CFTC OIG Audit of the Dodd-Frank Whistleblower Program	Other Reasons - Public Records
15-00140-FOIA	5/4/2015	A copy of the Final Report of the 2008-2009 Investigation regarding the Interagency Task Force on Commodity Markets Interim Report on Crude Oil.	Granted/Denied in Part
15-00141-FOIA	5/4/2015	A copy of the following CFTC Office of Inspector General Review: the Review of Agency Use of Contractors.	Granted in Full
15-00142-FOIA	5/4/2015	A copy of the CFTC OIG Peer Review of the Ex-Im Bank Office of Inspector General Program.	Granted in Full
15-00003-AP	5/4/2015	Appeal of 15-00043-FOIA	Completely Affirmed
15-00143-FOIA	5/5/2015	Complaints received by the CFTC Office of Inspector General from 2010 through 2015	Granted/Denied in Part
15-00144-FOIA	5/5/2015	Copy of the complaints received by the CFTC Office of Inspector General during calendar years 2013 and 2014.	Granted/Denied in Part
15-00145-FOIA	5/11/2015	Complaints rec'd by the CFTC OIG from 2005 through 2014 (Date Range for Record Search: From 01/01/2005 To 12/31/2014)	Granted/Denied in Part
15-00146-FOIA	5/11/2015	Each complaint received by the CFTC OIG during 2014. (Date Range for Record Search: From 01/01/2014 To 12/31/2014)	Granted/Denied in Part
15-00002-CONS	5/12/2015	SEC Request No. 15-01163-FOIA	Denied in Full
15-00147-FOIA	4/11/2014	(b)(6)	Other Reasons - No records
15-00148-FOIA	8/1/2014		Other Reasons - No records
15-00149-FOIA	5/26/2015		Other Reasons - Not a proper FOIA request for some other reason
15-00004-AP	2/13/2015	Appeal of 14-00092-FOIA	Completely Affirmed
15-00005-AP	4/7/2014	Appeal of 14-00081-FOIA	Other Reasons - Fee-related reason
15-00151-FOIA	6/3/2015	All communications, including letters and e-mails, between the offices of Representative K. Michael Conaway and/or the House Agriculture Committee and the CFTC between May 1, 2015 and the present day.	Granted in Full
15-00152-FOIA	6/4/2015	Records and emails and data sent to and received from various domain names	Other Reasons - No records
15-00153-FOIA	6/5/2015	Records provided in response to FOIA Request No. 13 00046, requested on March 1, 2013, concerning "data reflecting the total volume in NYSE Liffe EURIBOR futures contracts"; and all information and records regarding the total number of U.S.-based NYSE LIFFE Euribor futures contracts traded between (i) January 1, 2005 and December 31, 2010, inclusively and (ii) June 1, 2005 and March 31, 2011, inclusively.	Granted in Full
15-00154-FOIA	6/8/2015	Rule enforcement reviews by DCR for clearinghouses since January 1, 2010. (Date Range for Record Search: From 01/01/2010 To 06/08/2015)	Other Reasons - No records
15-00155-FOIA	6/8/2015	OIG Report Information	Other Reasons - Public Records
15-00156-FOIA	6/8/2015	Records regarding the London Metal Exchange's (LME's) application for registration as a Foreign Board of Trade; LME-licensed aluminum warehouses; queue length at LME-licensed aluminum warehouses and LME's warehouse reform package	Granted/Denied in Part
15-00157-FOIA	6/8/2015	All records in CFTC FOIA Request File 10-0094 regarding the 1992 NYMEX ACCESS Report	Granted in Full
15-00158-FOIA	6/9/2015	Membership information of (b)(6)	Granted/Denied in Part
15-00159-FOIA	6/11/2015	Copies of all e-mails between Gary Gensler, former CFTC commissioner, and employees of the Chicago Mercantile Exchange (a.k.a. CME Group) between the dates of May 1st, 2010, and October 3rd, 2010.	Other Reasons - No records
15-00160-FOIA	6/15/2015	The number of complaints submitted to the CFTC by investors related to the CFTC or CME arbitration schemes in each of the following years: 2010, 2011, 2012, 2013, 2014 and 2015 to date	Other Reasons - No records
15-00161-FOIA	6/15/2015	The number of arbitration claims filed in the CME Group scheme (http://www.cmegroup.com/market-regulation/dispute-resolution/arbitration-guide.html) in each of the following years: 2010, 2011, 2012, 2013, 2014 and 2015 to date	Other Reasons - No records
15-00162-FOIA	6/17/2015	Data reflecting the total volume in NYSE LIFFE three month Euro Swiss Franc Interest Rate futures Contracts	Other Reasons - No records
15-00163-FOIA	6/18/2015	Any communication with the London Metal Exchange related to its application to be registered as a "foreign board of trade" from January 2012 to present day.	Other Reasons - Request withdrawn
15-00164-FOIA	6/18/2015	Any communication with Novelis related to aluminum and warehousing from January 2010 to present day	Other Reasons - Request withdrawn

15-00165-FOIA	6/18/2015	Any communication with Trafigura related to North European Marine Services Ltd, also known as NEMS, and now part of Trafigura's logistics unit, Impala Terminals from January 2010 to present day	Other Reasons - Request withdrawn
15-00166-FOIA	6/18/2015	Any communication with Glencore related to Pacorini, its warehousing subsidiary, from January 2010 to present day	Other Reasons - Request withdrawn
15-00167-FOIA	6/18/2015	Any communication with Alcoa related to warehousing and aluminum from January 2010 to present day	Other Reasons - Request withdrawn
15-00168-FOIA	6/18/2015	Any communication with MillerCoors related to warehousing from January 2010 to present day	Other Reasons - Request withdrawn
15-00169-FOIA	6/18/2015	Any communication with the London Metal Exchange related to warehousing from January 2010 to present day	Other Reasons - Request withdrawn
15-00170-FOIA	6/18/2015	(1) The letter from CFTC Chairman William Rainer to Congress (apparently dated February 8, 2000); and (2) 2. For the period 1999-2001, correspondence related to item 1 including, but not limited to, letters from members of Congress, the House Agriculture Committee, or Senate Agriculture Committee to the CFTC or the CFTC Chairman addressing the regulation of electronic systems such as DMI or Blackbird	Granted in Full
15-00171-FOIA	6/19/2015	Investigative file of (b)(6)	Granted/Denied in Part
15-00172-FOIA	6/23/2015	Records related to the CFTC's investigation into the Commission's website going down on March 18, 2015.	Other Reasons - No records
15-00173-FOIA	6/23/2015	Records related to categories of CFTC registrants and registrant demographics	Granted in Full
15-00174-FOIA	6/24/2015	Agency enforcement action for the period of 1975 to present	Other Reasons - Public Records
15-00175-FOIA	6/26/2015	Enforcement Data that will show Date of Enforcement, Reason for enforcement (Fraud, Manipulation, etc.), Civil Penalty dollars, settlement dollars, restitution amount whether there was an identifiable consumer loss, if so how much	Granted in Full
15-00176-FOIA	6/26/2015	Direct correspondence, including electronic correspondence, from email addresses @blunt.senate.gov related to the following issues, between January 2011-present: a Dodd-Frank Wall Street Reform and Consumer Protection Act	Other Reasons - No records
15-00177-FOIA	6/30/2015	Correspondence between CFTC staff and Commissioners and any representative of Koch (Date Range for Record Search: From 01/01/2007 To 06/30/2015)	Granted/Denied in Part
15-00006-AP	6/29/2015	15-00163-FOIA to 15-00169-FOIA - Appeal of Fee Waiver Denial	Other Reasons - Fee-related reason
15-00007-AP	7/1/2015	Appeal of 14-00152-FOIA	Completely Affirmed
15-00178-FOIA	7/6/2015	I request to see any Narrative or Case Documents summary relating to the CFTC action taken as to GEORGE DANIEL FLYNN LAMBORN, Case # 02-14; Effective Date 06/06/2003; Case Outcome - FINE \$25,000 - CEASE AND DESIST ORDER - COMMISSION ORDER - DISMISSED - OTHER (SEE NARRATIVE)	Granted in Full
15-00179-FOIA	7/8/2015	Records regarding No-Action requests seeking relief from Anti-Money Laundering ("AML") regulations	Granted in Full
15-00180-FOIA	7/9/2015	Records regarding Rosland Capital, LLC	Denied in Full
15-00008-AP	7/9/2015	Appeal the CFTC FOIA Office's response to 15-00173-FOIA	Completely Affirmed
15-00181-FOIA	7/10/2015	Incoming and Outgoing Emails between Agency Email Accounts from 2007 to May 19 to or from various email accounts referencing Jeb Bush	Other Reasons - Records not reasonably described
15-00182-FOIA	7/15/2015	Communications to foreign government officials regarding NAFTA and any free trade agreement	Other Reasons - No records
15-00183-FOIA	7/15/2015	Data reflecting the total volume in NYSE LIFFE three month Sterling Interest Rate futures contracts originating from LIFFE CONNECT Application	Other Reasons - No records
15-00184-FOIA	7/15/2015	CFTC Docket No. 15-25, In the Matter of: Barclays PLC, Barclays Bank PLC, and Barclays Capital Inc	Denied in Full
15-00009-AP	7/17/2015	Appeal of 14-00159-FOIA	Completely Reversed/Remanded
15-00185-FOIA	7/20/2015	Printout listing Office of Inspector General investigations closed during calendar year 2014 and 2015 up to July 20, 2015.	Other Reasons - No records
15-00186-FOIA	7/21/2015	Gro Intelligence is seeking a complete list of firms registered with the CFTC, including their most recent reported net capital level.	Other Reasons - Request withdrawn
15-00187-FOIA	7/21/2015	A request for any of the daily calendars of Timothy Massad, chairman, between June 15, 2014 and July 15, 2015. (Date Range for Record Search: From 06/15/2014 To 07/15/2015)	Granted/Denied in Part
15-00188-FOIA	7/22/2015	Request for daily data on futures positions from the Large Trader Reporting System (LTRS) - the longest data series available, and for all futures contracts.	Other Reasons - Public Records
15-00189-FOIA	7/23/2015	Request for all white papers, Power Point presentations, policy summaries, talking points and e-mails on "spoofing" from the period January 29, 2015, to July 22, 2015. A similar request for the period of 2010 to January 2015 was previously made, but there has since been several large discussions and cases related to spoofing. This request is meant to be a follow-up on the previous request. (Date Range for Record Search: From 01/29/2015 To 07/22/2015)	Granted/Denied in Part
15-00190-FOIA	7/28/2015	CFTC Enforcement Actions: Civil Monetary Penalties from October 1, 2004 to the Present	Granted in Full
15-00003-CONS	7/28/2015	Consultation to SEC on Request for Interagency Agreements between the SEC Office of ALJ and other Federal Agencies	Granted in Full
15-00191-FOIA	7/30/2015	I am requesting information or records regarding this request to seek access to an electronic/digital copy of the CFTC FOIA case log from the time period July 25, 2014 to the present. (Date Range for Record Search: From 07/25/2014 To 07/30/2015)	Granted in Full
15-00192-FOIA	7/30/2015	Request for all memos and emails written by Lawranne Stewart to any employee or agent of Citigroup referencing "swaps pushout" or the "pushout rule" between January 1, 2014 and July 30th, 2015.	Other Reasons - No records
15-00193-FOIA	7/30/2015	Request for copies of all memos and emails written by Lawranne Stewart to any employee or agent of J.P. Morgan Chase & Co. referencing "swaps pushout" or the "pushout rule" between January 1, 2014 and July 30th, 2015.	Other Reasons - No records
15-00194-FOIA	7/30/2015	Request for copies of all memos and emails written by Lawranne Stewart to any official in the United States Department of the Treasury referencing "swaps pushout" or the "pushout rule" between January 1, 2014 and July 30th, 2015.	Other Reasons - No records
15-00195-FOIA	7/30/2015	Request for copies all memos and emails written by Lawranne Stewart to any official in the Executive Office of the President referencing "swaps pushout" or the "pushout rule" between January 1, 2014 and July 30th, 2015.	Other Reasons - No records
15-00196-FOIA	7/30/2015	Request for copies of all memos and emails written by Lawranne Stewart to any member of the United States Senate, or to any Senate staff, referencing "swaps pushout" or the "pushout rule" between January 1, 2014 and July 30th, 2015.	Other Reasons - No records

15-00197-FOIA	7/30/2015	Request for all memos and emails written by Lawranne Stewart to any member of the United States House of Representatives, or their staff, referencing "swaps pushout" or the "pushout rule" between January 1, 2014 and July 30th, 2015.	Other Reasons - No records
15-00198-FOIA	8/3/2015	(1) The December 18 memo to the Commissioners mentioned in this article : http://www.reuters.com/article/2012/11/20/us-libor-fixing-origins-idUSBRE8A10MH20121120 "After studying the comment letters and interviewing banks that participated in the CME and BBA surveys, the CFTC's Division of Economic Analysis decided in favor of the BBA survey, according to a person familiar with the analysis at the time. In a December 18, 1996, memo to CFTC commissioners, the analysis unit said BBA Libor "does not appear to be readily susceptible to manipulation." (2) Any other documents, such as other internal memos, related to the 1996 transition of CME contracts toward the use of a BBA survey.	Granted/Denied in Part
15-00199-FOIA	8/5/2015	Description of Information Requested: Requesting an alphabetical listing of all current CFTC employees (no contractors) showing Last Name, First Name, Title, Division, Telephone Number and City (Date Range for Record Search: From 08/05/2015 To 08/05/2015)	Granted in Full
15-00200-FOIA	8/7/2015	Seeking a copy of each response to a Question for the Record (QFR) provided to Congress by the CFTC. (Date Range for Record Search: From 01/01/2009 To 06/13/2014)	Granted/Denied in Part
15-00201-FOIA	8/7/2015	Seeking a digital/electronic copy of the most recent CFTC Public Affairs Communications Plan (i.e. a press/external relations plan)	Granted in Full
15-00202-FOIA	8/11/2015	The "report" prepared by the CFTC's Inspector General, circulated internally on or about June 16 -19, 2015, concerning the General Law Section of the Office of General Counsel.	Denied in Full
15-00203-FOIA	8/13/2015	request a copy of the contents of the administrative tracking/processing folder/file associated with * the 5 oldest pending FOIA administrative appeals And with * the 5 oldest pending FOIA requests	Granted in Full
15-00204-FOIA	8/13/2015	Any and all emails to/from, including attachments, anyone with the domain @bipartisanpolicy.org; aei.org; coincenter.org; ourfinancialsecurity.org and the Commissioners, the Chair, their staff members, and any person working within the Office of the Chief Economist between January 1, 2013 and the date upon which you retrieve the records. Any and all emails to/from, including attachments, the Commissioners, the Chair, their staff members, and the following individuals: Martin Neil Baily, Phillip L. Swagel, Annette L. Nazareth, James C. Sison, Gregory P. Wilson, Aaron Klein, Justin Schardin, Kristofer Reading and Olivia Weiss between January 1, 2013 and the date upon which you retrieve the records.	Other Reasons - Records not reasonably described
15-00205-FOIA	8/14/2015	How many employees attended the Annual Black Hat USA Information Conference in Las Vegas from 2000 through 2015	Other Reasons - No records
15-00206-FOIA	8/17/2015	Request an electronic copy (e.g. pdfs on a CD-ROM or via email) of all memos and emails written to Lawranne Stewart by Paul Thornell, or by Lawranne Stewart to Paul Thornell, between January 1, 2014 and August 12th, 2015.	Granted/Denied in Part
15-00207-FOIA	8/17/2015	Request an electronic copy (e.g. pdfs on a CD-ROM or via email) of all memos and emails written to Lawranne Stewart by Hillary West, or by Lawranne Stewart to Hillary West, between January 1, 2014 and August 12th, 2015.	Other Reasons - No records
15-00208-FOIA	8/17/2015	Request an electronic copy (e.g. pdfs on a CD-ROM or via email) of all memos and emails written to Lawranne Stewart by Tim Cooto, or by Lawranne Stewart to Tim Cooto, between January 1, 2014 and August 12th, 2015.	Other Reasons - No records
15-00209-FOIA	8/20/2015	Copies of the CFTC's current lease or occupancy agreements and any amendments related to the CFTC offices at 1155 21st St NW, 525 West Monroe St (Chicago), 4900 Main St Ste 500 (Kansas City) and 140 Broadway (NYC).	Granted/Denied in Part
15-00210-FOIA	9/9/2015	seek access to emails, articles, and correspondence between the CFTC and CME regarding what constitutes anti-spoofing violations, from July 21, 2010 to the present. This search is to also include records between CFTC staff that reflect any discussions or correspondence with CME regarding anti spoofing violations. (Date Range for Record Search: From 07/21/2010 To 08/20/2015)	Denied in Full
15-00211-FOIA	8/20/2015	seeking records among the CFTC and between the CFTC and Mexican entities regarding swap data reporting and post trade transparency (including option trade) (Date Range for Record Search: From 01/01/2012 To 08/20/2015)	Granted in Full
15-00212-FOIA	8/21/2015	an electronic copy (e.g. pdfs on a CD-ROM or via email) of all memos and emails written to or by Lawranne Stewart January 1, 2015 and August 12th, 2015 concerning: (a) a "swap dealer" or "swap dealers," or (b) including the word "relief" in the same document as "non-US" or "transaction-level requirements," or "swap," or (c) including the words "delay" and "derivatives" or "swap." (Date Range for Record Search: From 01/01/2015 To 08/12/2015)	Granted/Denied in Part
15-00213-FOIA	8/21/2015	an electronic copy (e.g. pdfs on a CD-ROM or via email) of all memos and emails written to or by Clark Ogilvie or Timothy Massad between June 15, 2014 and August 19th, 2015 concerning: (a) a "swap dealer" or "swap dealers," or (b) including the word "relief" in the same document as "non-US" or "transaction-level requirements," or "swap," or (c) including the words "delay" and "derivatives" or "swap." (Date Range for Record Search: From 06/15/2015 To 08/19/2015)	Granted/Denied in Part
15-00214-FOIA	8/21/2015	an electronic copy (e.g. pdfs on a CD-ROM or via email) of all memos, letters and emails (a) from John White to either Clark Ogilvie or Timothy Massad between June 15, 2014 and August 19th, 2015; or (b) from either Clark Ogilvie or Timothy Massad to John White between June 15, 2014 and August 19th, 2015. (Date Range for Record Search: From 06/15/2015 To 08/19/2015)	Other Reasons - No records
15-00215-FOIA	8/21/2015	an electronic copy (e.g. pdfs on a CD-ROM or via email) of all memos, letters and emails (a) from the law firm of Cravath, Swaine & Moore to either Clark Ogilvie or Timothy Massad between June 15, 2014 and August 19th, 2015; or (b) from either Clark Ogilvie or Timothy Massad to the law firm of the law firm of Cravath, Swaine & Moore between June 15, 2014 and August 19th, 2015. To reduce the scope of work this entails, the search can be limited to emails with the domain cravath.com (Date Range for Record Search: From 06/15/2015 To 08/19/2015)	Other Reasons - No records
15-00216-FOIA	8/26/2015	Request an electronic copy of all memos and emails written to or by Lawranne Stewart: (a) With any representative of the Futures Industry Association, or (b) With any representative of the Commodity Markets Council, between March 1, 2014 and August 25th, 2015.	Granted/Denied in Part
15-00217-FOIA	8/26/2015	Request an electronic copy (e.g. pdfs on a CD-ROM or via email) of all memos and emails written to or by Timothy Massad containing the phrase (a) "leverage ratio" or (b) "derivatives collateral" between March 1, 2014 and August 25th, 2015.	Granted/Denied in Part
15-00218-FOIA	8/31/2015	I request the following document under the Freedom of Information Act: > > Management Advisory issued June 19, 2015 regarding the Office of General Counsel and General Law >	Denied in Full
15-00219-FOIA	9/10/2015	CFTC Interpretive Letter 86-8, which is dated April 4, 1986 (Date Range for Record Search: From 04/04/1986 To 04/04/1986)	Granted in Full
15-00220-FOIA	9/16/2015	Copy of all memos and emails written to Timothy Massad or Clark Ogilvie from Chris (or Christopher) Brummer, or from Timothy Massad or Clark Ogilvie to Chris (or Christopher) Brummer between March 1, 2014 and September 14th, 2015.	Other Reasons - No records
15-00221-FOIA	9/16/2015	Records associated with the following specified CFTC FOIA Cases: 14-00001-FOIA 14-00003-FOIA 14-00016-FOIA 14-00031-FOIA 14-00076-FOIA	Granted in Full
15-00222-FOIA	9/17/2015	requesting information or records regarding the No-Action Letters Concerning the University of Iowa's Iowa Electronic Markets under file number RF05-03	Granted in Full
15-00004-CONS	9/17/2015	Request for Consultation on FDIC FOIA Request Log No. 15-0478	Granted in Full

15-00223-FOIA	9/18/2015	Investigative documents or records concerning (b)(6)	Medley Global Advisors from Jan. 1, 201415-0022 to the present	Other Reasons - No records
15-00224-FOIA	9/21/2015	requesting all communications regarding the practice and regulation of the retail foreign exchange market between the CFTC, CME, NFA, and FXCM		Granted in Full
15-00225-FOIA	9/23/2015	all memos and emails written by Mark Wetjen or Scott Reinhart to any employee or agent of Depository Trust & Clearing Corp (which is also known as "DTCC") referencing "swans" (Date Range for Record Search: From 11/01/2011 To 08/28/2015)		Granted/Denied in Part
15-00226-FOIA	9/24/2015	a copy of all bonds created in case ID #9415-12, NYSID# 09031893M, FBI# 29871A05, criminal justice tracking #65554546N, DIN# 13-A-1113.		Other Reasons - No records
15-00010-AP	7/20/2015	Appeal of 15-00149		Completely Reversed/Remanded
15-00227-FOIA	9/29/2015	a copy of any report or response to Senator Johnson's 6/23/15 letter to the OIG regarding agency compliance with the FOIA and political appointee involvement in the FOIA process		Granted in Full
15-00228-FOIA	9/29/2015	1. A copy of the original FOIA request 15-00103, and 2. A copy of all responsive documents pursuant to CFTC FOIA request 15-00103		Granted/Denied in Part
16-00001-FOIA	10/1/2015	Copies of all written correspondence and calendar appointments between all CFTC staff and all CFTC Commissioners and any representative of Koch Industries, Koch Supply & Trading, or any Koch Industries affiliate (Date Range for Record Search: From 01/01/2010 To 10/01/2015)		Other Reasons - No records
16-00002-FOIA	10/2/2015	All records of communications between any Commission employee and any CME employee concerning applicable standards utilized by the Commission or CME in evaluating how spoofing is defined and what constitutes a violation of the anti-"spoofing" provision of the Commodity Exchange Act, Section 4c(a)(5)(C)		Granted/Denied in Part
16-00003-FOIA	10/5/2015	A copy of the CFTC letter dated June 16, 1986 from Case No. 86-23 regarding Savings and Loan Association's Activities Not Excluded from CTA Definition.		Granted in Full
16-00004-FOIA	10/5/2015	Copies of any investigative documents or records concerning (b)(6)		Other Reasons - No records
16-00005-FOIA	10/5/2015	Copies of any investigative documents or records concerning (b)(6)	(Date Range for Record Search: From 01/01/2014 To 10/05/2015)	Denied in Full
16-00006-FOIA	10/5/2015	copies of any investigative documents or records concerning (b)(6)	(Date Range for Record Search: From 01/01/2014 To 10/05/2015)	Denied in Full
16-00007-FOIA	10/5/2015	Copies of any investigative documents or records concerning (b)(6)	(Date Range for Record Search: From 01/01/2014 To 10/05/2015)	Other Reasons - No records
16-00008-FOIA	10/6/2015	Request for Copy of Exhibits A, B and C attached to IGDL's September 23, 2015 Request for Confidential Treatment		Denied in Full
16-00009-FOIA	10/6/2015	United States Futures Exchange, L.L.C.		Granted/Denied in Part
16-00010-FOIA	10/7/2015	Copies of a report by the CFTC Division of Market Oversight analyzing "wash trading" and including data on the number of "wash sale" transactions taking place on US futures exchanges between January and August 2012.		Other Reasons - No records
16-00011-FOIA	10/8/2015	The data set of the E-mini S&P 500 futures contract used in the working paper "The Trading Profits of High Frequency Traders " by Matthew Baron, Jonathan Brogaard, and Andrei Kirilenko.		Other Reasons - No records
16-00012-FOIA	10/13/2015	Copies of the incident reports processed by the CFTC's staff responsible for handling computer security incident responses as well as cyber incident and response summary reports (Date Range for Record Search: From 10/06/2011 To 10/06/2015)		Granted/Denied in Part
16-00013-FOIA	10/15/2015	Letter from file regarding the dismissal of the case CFTC v KLITIN ASSOCIATES II.		Other Reasons - No records
16-00014-FOIA	10/16/2015	Records and documents produced to the CFTC regarding trading in Platinum and Palladium Futures Contracts on the NYMEX Exchange from 2007 to 2014		Other Reasons - Records not reasonably described
16-00015-FOIA	10/26/2015	All MOUs, and contracts between the CFTC and the Blockchain Alliance		Other Reasons - No records
16-00016-FOIA	10/29/2015	All reports of investigation from the U.S. CFTC Office of Inspector General, which have not been posted publicly on the website of the Office of the Inspector General (Date Range for Record Search: From 01/01/2015 To 10/29/2015)		Denied in Full
16-00017-FOIA	11/5/2015	Intraday transaction records of all WTI Crude Oil futures on the New York Mercantile Exchange (NYMEX) from three different time periods: January and March, 2006; April and December, 2008; and January and March, 2011.		Other Reasons - No records
16-00018-FOIA	11/5/2015	Transactions data for CME E-MINI S&P 500 STOCK INDEX FUTURES DATA, CME NASDAQ-100 STOCK INDEX FUTURES DATA, and CME NASDAQ-100 STOCK INDEX FUTURES DATA (MINT) (Date Range for Record Search: From 01/01/2015 To 11/13/2015)		Other Reasons - No records
16-00019-FOIA	11/6/2015	A list of all judgments referred to the Justice Department or the U.S. Department of the Treasury from October 1 2006 November 6, 2015, for each judgment:		Granted in Full
16-00020-FOIA	11/9/2015	Records involving the investigation of metals warehousing from August 2013; the London Metals Exchange application; and the Alcoa FOIA request concerning LME application.		Granted/Denied in Part
16-00021-FOIA	11/13/2015	All communications between CFTC and U.S. EPA; CFTC and members of industry - financial institutions and commercial parties - regarding the trading of Renewable Identification Number (RIN) credits to show compliance with the U.S. EPA's Renewable Fuel Standard.		Granted/Denied in Part
16-00022-FOIA	11/13/2015	Timothy Christopher Parrott		Granted/Denied in Part
16-00023-FOIA	11/9/2015	1. Division of Trading report on Project A, dated October 15, 1992 2. Division of Trading report on Project A dated September 15, 1994		Granted in Full
16-00024-FOIA	11/19/2015	Letter sent in June 2012 to FCMs (Futures Commission Merchants) regarding discontinuance/ceasing use of the "Alternative Method."		Other Reasons - No records
16-00025-FOIA	11/19/2015	A copy of the 1) Division of Trading and Market's Report on Project A, dated October 15, 1992. and 2) Division of Trading and Market's Report on Project A, dated September 15, 1994.		Granted in Full
16-00026-FOIA	11/20/2015	All records relied upon by (b)(6) as a basis for facts he stated in his Declaration that was signed by him on or about May 5, 2011, which declaration purportedly authenticated and dated the public accessibility of documents purportedly contained within CFTC Comment File 02-10 (Date Range for Record Search: From 03/01/2011 To 05/05/2011)		Granted in Full
16-00027-FOIA	11/23/2015	All records related to the NYMEX ACCESS computer trading system in the "Seriatim" file of the Secretary or Secretariat of the CFTC. (Date Range for Record Search: From 01/01/1992 To 12/31/1993)		Granted in Full
16-00028-FOIA	11/23/2015	All documents in the CFTC's possession regarding or related to Timothy D. Lyons and Lone Eagle Capital, LLC, including but not limited to any allegations or referrals from third parties.		Denied in Full

16-00029-FOIA	12/2/2015	All records stating or defining the "duties" or "responsibilities" of (b)(6) at the CFTC that were applicable to describe or define (b)(6) official duties. (Date Range for Record Search: From 04/01/2011 To 05/06/2011)	Granted in Full
16-00030-FOIA	12/2/2015	All declarations and affidavits signed by (b)(6) as the declarant or affiant at any time during his employment at the CFTC.	Granted/Denied in Part
16-00031-FOIA	12/2/2015	All records of certification, authentication, or dating of any CFTC document by (b)(6) whereupon (b)(6) affixed the Official Seal of the CFTC to any document or certification. This request specifically includes any logbook entry or other record relating to (b)(6) May 5, 2011 Declaration regarding NYMEX documents, but it does not include a request for a copy of the May 5, 2011 Declaration itself.	Other Reasons - No records
16-00032-FOIA	12/2/2015	Investigative files regarding CFTC Docket NO. 11-15, In the Matter of Trendy Systems, LLC	Other Reasons - Request withdrawn
16-00033-FOIA	12/4/2015	Institutional Advisory Service Group, Inc. financial documents (Date Range for Record Search: From 01/01/2013 To 06/30/2015)	Granted/Denied in Part
16-00034-FOIA	12/11/2015	I request a copy of the letter of request and each interim and final response letter associated with the following requests: 14-00001-FOIA 14-00003-FOIA 14-00016-FOIA 14-00031-FOIA 14-00076-FOIA	Other Reasons - Duplicate Request
16-00035-FOIA	12/11/2015	Copy of any records already/previously released during Calendar Year 2015 concerning the CFTC investigation into alleged manipulation of the COMEX silver market and other silver markets.	Granted/Denied in Part
16-00036-FOIA	12/11/2015	Copy of the Investigation Report by the CFTC Office of Inspector General concerning stolen or mishandled agency computers.	Granted in Full
16-00037-FOIA	12/14/2015	Any documentation from the Division of Enforcement that explains or references its final decision to close or discontinue the investigation concerning the silver markets, as referenced in CFTC press release PR6709-13, found at http://www.cftc.gov/PressRoom/PressReleases/pr6709-13 . I am also requesting any supporting attachments that would accompany that final decision documentation.	Granted/Denied in Part
16-00038-FOIA	12/18/2015	All records of correspondence between the CFTC and anyone related to the service, scheduling, content, request, response, and/or satisfaction of a Subpoena for the deposition of (b)(6) (Date Range for Record Search: From 07/01/2015 To 12/18/2015)	Granted/Denied in Part
16-00039-FOIA	12/22/2015	Requesting an alphabetical listing of all current CFTC employees (no contractors) showing Last Name, First Name, Title, Division, Telephone Number and City	Granted in Full
16-00040-FOIA	12/21/2015	Emails sent or received between March 2 through March 6, 2015, by Designated Agency Ethics Official Jonathan Marcus that mentions Hillary Clinton's use of a personal email account.	Other Reasons - No records
16-00041-FOIA	1/6/2016	All depositions and discovery related to Docket No. 09-03 In the matter of Frank Otis & Glenn Millar and Docket No. 09-02, in the matter of DFA, Gary Hanman and Gerald Bos.	Denied in Full
16-00042-FOIA	1/5/2016	Request for 8R/3R Filings	Other Reasons - Request withdrawn
16-00043-FOIA	1/12/2016	Outside expert testimony from 2007-2014, compiled in the Silver Market Investigation	Granted/Denied in Part
16-00044-FOIA	1/14/2016	Records Reflecting the Number of Whistleblower Tips	Granted in Full
16-00045-FOIA	1/14/2016	New York Cotton Exchange proposal in support of its proposed amendment regarding the Cotton No. 2 futures contract	Granted in Full
16-00046-FOIA	1/15/2016	Meeting Minutes	Other Reasons - No records
16-00047-FOIA	1/21/2016	Daily Open Interest of "CRUDE OIL, LIGHT SWEET - NEW YORK MERCANTILE EXCHANGE" by each entity and total. The time period is from begin(the recorded day) to now.	Other Reasons - No records
16-00001-AP	2/5/2016	Appeal of 15-00224-FOIA	Completely Affirmed
16-00002-AP	2/5/2016	Appeal of 15-00030-FOIA	Completely Affirmed
16-00048-FOIA	2/5/2016	Documents containing or providing the aggregate or summary information described below regarding hedge exemptions from speculative positions limits, granted either by the CFTC or by a designated contract market, for the three most recent years for which such information is available: 1) The number and nature of exemptions granted, either by the CFTC or by an exchange, for each agricultural and energy commodity futures contract	Other Reasons - No records
16-00049-FOIA	2/10/2016	1. Copies of any and all correspondence sent from the CFTC, or sent from any staff employed by the CFTC, to Hallam Group LLC during the time period Jan 1 1997 through Dec 31 2006. 2. Copies of any and all correspondence sent from the CFTC, or sent from any staff employed by the CFTC, to Marylebone Holdings during the time period Jan 1 1997 through Dec 31 2006. 3. Copies of any and all correspondence sent from the CFTC, or sent from any staff employed by the CFTC, to Brien Roche of Johnson & Roche during the time period Jan 1 1997 through Dec 31 2006.	Other Reasons - No records
16-00050-FOIA	2/11/2016	(1) CFTC monetary sanctions, which are composed of (2) restitutions and disgorgements, and (3) civil monetary penalties. From 1974 to 2000. Also, I am missing these data for 2004 (not in the annual report that year), and (2) and (3) from 2010 to 2013.	Granted in Full
16-00051-FOIA	2/11/2016	Registration records in connection to (b)(6) including disciplinary and appeal matters	Granted/Denied in Part
16-00052-FOIA	2/16/2016	Copy of the CFTC Congressional Budget Justification document for each of the Fiscal Years 2008 through 2017.	Granted/Denied in Part
16-00053-FOIA	2/16/2016	CFTC Office of Inspector General documents: Inspector General's Risk Assessment of CFTC's Purchase Card and Convenience Check Program The OIG Management Letters Issued in FY 2015 Management Letter - Financial Statements for Fiscal Year 2012	Granted in Full
16-00054-FOIA	2/18/2016	Any and all records, correspondence, e-mails, attachments, and memos, in any format, that were sent to, or received from, any Senior State Department Officials and any Senior U.S. Commodity Futures Trading Commission (CFTC) officials. The time frame of this request is from January 21, 2009 to February 1, 2013.	Other Reasons - No records
16-00055-FOIA	2/22/2016	Any and all records, correspondence, emails, and memos, in any format, that were sent to, sent by, or otherwise exchanged between any DESIGNATED INDIVIDUALS and any individual utilizing an email address from any DESIGNATED DOMAINS, which also mention, refer, or otherwise relate to HSBC Holdings Plc, Barclays Plc, Deutsche Bank AG, Goldman Sachs Group Inc., JP Morgan Chase & Co, Standard Bank Group Ltd., and/or UBS Group AG.	Granted in Full
16-00056-FOIA	2/22/2016	Any and all correspondence, emails, and memos, sent by or on the behalf of the Designated Agency Ethics Official, Jonathan Marcus, or the Assistant Designated Agency Ethics Official, John Dolan, that include any of the following terms: Hillary Clinton; Clinton; Secretary of State; ? Homebrew; Personal Email: Server: Federal Records Act: HDR??; and hdr??@clintonemail.com	Other Reasons - No records

16-00057-FOIA	2/22/2016	Any and all emails sent to or sent by Gary Gensler Chairman of the CFTC. This includes both Mr. Gensler's official CFTC accounts and all private mail accounts that Mr. Gensler used to conduct CFTC business, including all attachments that were transmitted with any responsive emails. The time frame is from May 26, 2009 through January 3, 2014.	Other Reasons - Request withdrawn
16-00058-FOIA	2/24/2016	Gresham Hedge Ventures LP annual financial reports and Gresham's written response to Mr. Dixon's January 5, 2004 letter to Michelle Laxovich	Granted/Denied in Part
16-00059-FOIA	2/24/2016	12-00142-FOIA documents in regard to the previously submitted request referenced above.	Granted in Full
16-00060-FOIA	3/7/2016	For pre-employment purposes I am sending the name of, (b)(6) to see if their information matches with the one found on the website	Other Reasons - Records not reasonably described
16-00061-FOIA	2/25/2016	Documents related to the following reparations claims: 11-R007; 10-R028; 01-R105; 01-R070; 01-R013; 00-R084; 00-R066; 99-R025; 96-R139; 94-R191; and 94-R190	Granted in Full
16-00062-FOIA	2/26/2016	Request for an electronic copy (e.g. pdfs on a CD-ROM or via email) of all memos and emails written (a) to Timothy Massad or Clark Ogilvie from Paul Thornell, or (b) from Timothy Massad or Clark Ogilvie to Paul Thornell between September 1, 2014 and February 1st, 2015.	Granted/Denied in Part
16-00063-FOIA	3/2/2016	No Action Letters dated December 5, 1992, March 16, 1993, and August 26, 2014	Granted/Denied in Part
16-00064-FOIA	3/2/2016	Any data and documents related to investigations the CFTC has carried out regarding the Singapore Interbank Offered Rate ("SIBOR") from January 1, 2006 through December 31, 2012. *Any documents relating to the investigation of The Royal Bank of Scotland (including parent companies, subsidiaries, and affiliates).	Denied in Full
16-00065-FOIA	3/7/2016	A listing of all current CFTC staff. For each individual include: Name Title Pay Plan Series Grade Base Salary Total Salary SCD Leave Date CFTC Start Date Date in Grade Division Monetary Award for FY 2015 Days Off Award for FY 2015	Granted/Denied in Part
16-00066-FOIA	3/8/2016	Records relating to CME's Proposed Demutualization Plan	Granted/Denied in Part
16-00003-AP	3/14/2016	Appeal of 15-00190-FOIA	Completely Reversed/Remanded
16-00067-FOIA	3/24/2016	Copies of any and all correspondence (hard copy or email) sent from the CFTC and/or sent from any staff employed by the CFTC, to TurtleTrader and/or TurtleTrader.com during the time period Jan 1, 1997 through Dec 31, 2005.	Other Reasons - Request withdrawn
16-00068-FOIA	3/31/2016	Documents concerning the manipulation or attempted manipulation of the ISDAfix benchmark for the following currencies: 1) EUR Euribor, 2) EUR Euro Libor, and 3) Japanese Yen ("JPY"). Documents concerning the manipulation or attempted manipulation of the EUR Euribor	Denied in Full
16-00069-FOIA	4/1/2016	Any and all records of communication between any employee(s) of the Commodity Futures Trading Commission (the "Commission") and any institution, organization, company, law firm, or individual, concerning applicable standards utilized by the Commission in evaluating what constitutes a violation of the anti-"spoofing" provision of the Commodity Exchange Act, Section 4c(a)(5)(C).	Granted in Full
16-00070-FOIA	4/1/2016	Records circulated by the Commission regarding reference to last look or hold timer from January 1, 2010 through April 1, 2016	Other Reasons - No records
16-00071-FOIA	4/4/2016	Copy of FOIA request logs (including all sub-agencies and offices) for FY 2014 and FY 2015	Granted in Full
16-00004-AP	4/5/2016	Appeal of 16-00002	Completely Affirmed
16-00072-FOIA	4/12/2016	A copy of all correspondence and documents related to the CFTC decision to issue No-Action Letter 14-130.	Granted/Denied in Part
16-00073-FOIA	4/15/2016	Records prepared in connection with the Commission's meeting with State Street on April 24, 2013 and the TAC Committee Meeting on June 3, 2014	Granted in Full
16-00074-FOIA	4/22/2016	Request for Emails between Senior Commission Officials and Specified Congressional Staffers	Other Reasons - No records
16-00075-FOIA	4/22/2016	Request for Emails between Senior Commission Officials and Specified Congressional Staffers	Other Reasons - No records
16-00076-FOIA	4/22/2016	Request for emails between senior CFTC officials identified and specific congressional staffers	Other Reasons - No records
16-00077-FOIA	4/29/2016	All CFTC Rule Enforcement Reviews prior to 1998.	Granted in Full
16-00078-FOIA	5/2/2016	Request for an email sent to the offices of Commissioners Bowen and Giancarlo from the CFTC's general counsel's office between March 30, 2016 and April 20, 2016 concerning an interview with POLITICO.	Granted/Denied in Part
16-00079-FOIA	5/3/2016	All records related to the creation, revision, authority to sign, signing, and transmittal to anyone of the Declaration signed on or about May 5, 2011, by (b)(6) purportedly authenticating and dating public accessibility of documents purportedly contained within CFTC Comment File 92-10	Granted in Full
16-00080-FOIA	5/3/2016	All records related to the creation of microfilm or microfiche images of records of the Division of Trading and Markets, and records of the Office of the Secretariat, from January 1, 1997 through December 31, 2001.	Granted in Full
16-00005-AP	5/5/2016	Appeal of 15-00127-FOIA	Completely Affirmed
16-00081-FOIA	5/5/2016	Records from DMO regarding exchange applications related to legal marijuana or cannabis or hemp industries	Other Reasons - No records
16-00082-FOIA	5/6/2016	Documents generated or obtained by the CFTC regarding Chairman Gensler's decision to issue a statement of non-participation in MF Global; and policies and procedures governing DOE's process to obtain authorization to initiate civil enforcement actions in any U.S. District Court	Granted/Denied in Part
16-00083-FOIA	5/16/2016	Information or records regarding CFTC application software source code developed and maintained by the Office of Data & Technology (ODT).	Denied in Full
16-00084-FOIA	5/18/2016	Non-identifying information for the individual who was hired, and the individuals who were interviewed for the Job Title: Deputy Director, Customer Education and Outreach Series & Grade: CT-0301-15 Announcement #: CFTC-OED-2016-0002	Granted/Denied in Part
16-00085-FOIA	5/20/2016	All official correspondence exchanged between the CFTC chairman and Senator Mark Warner from January 3, 2013 through May 20, 2016	Granted in Full
16-00086-FOIA	5/20/2016	Copy of Barker v. Commodity Management Systems, Inc. CFTC Docket No. R77-96	Granted in Full
16-00087-FOIA	5/20/2016	OIG Closed Investigations between January 1, 2015 and December 31, 2015	Other Reasons - No records
16-00088-FOIA	5/25/2016	A copy of the conclusory document (such as the final report, report of investigation, closing memo, referral memo, referral letter, closing letter) for each Inspector General investigation or inspection addressing computer usage by employees that was closed during calendar years 2014, 2015 and 2016.	Other Reasons - No records
16-00089-FOIA	6/3/2016	Request for full and complete copies of all U.S. Commodity Futures Trading Commission's files (including rulings / orders, etc.) as concerns the above-referenced Archer Daniels Midland Company (ADM) and ADM Investor Services, Inc. (ADMIS).	Granted/Denied in Part
16-00090-FOIA	6/8/2016	A copy of the 1981 Commodity Futures Trading Commission report to Congress on issues involving futures contracts on financial instruments.	Granted in Full

16-00091-FOIA	6/13/2016	Type and dates of all actions issued or managed by CFTC contracting offices between October 1, 2005 through January 31, 2016 (Date Range for Record Search: From 10/01/2005 To 01/31/2016)	Granted/Denied in Part
16-00092-FOIA	6/13/2016	Disciplinary History for (b)(6)	Granted/Denied in Part
16-00093-FOIA	6/15/2016	Report conducted by the CFTC Office of the Chief Economist titled: "Analysis of the Various Economic Studies Cited in Comment Letters in the Position Limits Rulemaking"	Denied in Full
16-00094-FOIA	6/15/2016	Any and all documents pertaining to the CFTC IG's review of the Chief Economist Office forming the basis of the report on research published this year, particularly the conclusions on pages 4-5: http://www.cftc.gov/idc/groups/public/@aboutcftc/documents/file/cig_ocr011316.pdf	Denied in Full
16-00095-FOIA	6/22/2016	In re Labor-Based Financial Instruments Antitrust Litigation, MDL No. 2262, FTC Capital GMBH, et al., Civil Action No. 11-CV-02613	Denied in Full
16-00096-FOIA	6/24/2016	Any direct correspondence between your agency and Netonis (Tonnie) Wybensing (Staff Director- Senate Banking Subcommittee on Financial Institutions & Consumer Protection, Office of U.S. Senator Pat Toomey) between April 2013 - April 2014.	Other Reasons - No records
16-00097-FOIA	6/24/2016	Correspondence between your agency and Dina Ellis Rockkind (Senior Financial Services Counsel and Republican Staff Director of Senate Banking, Housing and Urban Affairs Committee, Financial Institutions and Consumer Protection Subcommittee) between April 2011 - June 2013. Direct	Granted/Denied in Part
16-00098-FOIA	6/27/2016	Copies of all records relating to data breaches and/or identified hacking incidents for the last five years.	Granted/Denied in Part
16-00099-FOIA	6/28/2016	Request for a copy of the minutes of meetings and any memos produced from these meetings, for the last 26 meetings.	Other Reasons - No records
16-00100-FOIA	6/28/2016	8R/3R Filings for Various Individuals and 7R/3R filings for the Organizations	Granted/Denied in Part
16-00101-FOIA	7/5/2016	Any Freedom of Information Act requests and the responsive materials thereof filed January 2011 to present regarding Senator Pat Toomey or the staff or representatives of Senator Pat Toomey.	Other Reasons - No records
16-00102-FOIA	7/6/2016	All information concerning (b)(6) All the removed information from OCR report 01/01/2013-5/6/2016 IG Markets limited trading COUNTER party risk account (b)(6) All above information from 01/01/2004-06/06/2016 Gmei account (b)(6)	Other Reasons - No records
16-00103-FOIA	7/8/2016	CFTC Office of the Chief Economist Records In re CFTC v. Donald R. Wilson, Jr. & DRW Investments, LLC	Denied in Full
16-00104-FOIA	7/8/2016	Non-Public Records of Richard Andrew Gashler	Granted/Denied in Part
16-00105-FOIA	7/13/2016	Records regarding Los Angeles Trading Group, Inc. v Peregrine Financial Group, Inc. Empire Futures LLC, Reuben SHushman, James Frances Kelly and Timothy Watson-Mercyman CFTC Docket No. 06-R-026.	Granted/Denied in Part
16-00106-FOIA	7/18/2016	Request a copy of any and all documents related to a filing by the Italian Stock Exchange Mercato Italiano dei Deriva (IDEM) referring to a product titled "FTSE MIB Dividend Index Futures Contract"	Granted in Full
16-00107-FOIA	7/19/2016	Records relating to meetings between CFTC Commissioners and National Grain and Feed Association fro 2013 to the present	Granted/Denied in Part
16-00108-FOIA	7/21/2016	Records regarding the CFTC contract currently held by FPMI Solutions, Inc. The contract number is CFHRB13BP0093. We would like to obtain all solicitation documents provided to vendors for the contract. This includes but is not limited to RF, SOW, O&A, and pricing documents.	Granted in Full
16-00109-FOIA	7/29/2016	CFTC Budgets	Granted in Full
16-00110-FOIA	8/2/2016	CFTC Response to March 26, 2015 Letter from House Committee on Oversight Regarding the Use of Fines and Penalties	Granted/Denied in Part
16-00111-FOIA	8/3/2016	Electronic correspondence to or from Commissioner Fred W. Hatfield to the Board of Directors of Intercontinental Exchange Regarding his Appointment to the Board of Directors Between January 1, 2004 and December 31, 2007	Other Reasons - No records
16-00112-FOIA	8/8/2016	CFTC guidance to clearinghouses to further the development of Recovery Plans and Wind-down Plans	Other Reasons - Public Records
16-00113-FOIA	8/9/2016	Reports on cybersecurity major incidents sent between December 18, 2014 and July 31, 2016 by the Commodity Futures Trading Commission to the House of Representatives Committee on Science, Space and Technology. I request all communications from the CFTC to the House committee regarding these incidents, including the initial notification and additional information sent subsequently as mandated by the Federal Information Security Modernization Act of 2014	Other Reasons - No records
16-00114-FOIA	8/15/2016	Records relating to the proceeding captioned in the Matter of BFXNA INC. d/b/a BITFINEX, CFTC Docket No. 16-19, including, without limitation, documents, records and communications relating to any investigation or disciplinary action	Denied in Full
16-00115-FOIA	8/15/2016	All written correspondence between the CFTC and the Victoria University of Wellington's Request for a No-Action Letter regarding the Operation of a Small-Scale, Not-For-Profit Market for the Trading of Event Contracts for Educational Purposes.	Granted/Denied in Part
16-00116-FOIA	8/22/2016	Press release #1081-83 in docket #83-29 regarding a CFTC violation of CEA 4c by Robert Ehrenspeck.	Granted in Full
16-00006-AP	8/22/2016	Appeal of 16-00083-FOIA	Completely Affirmed
16-00117-FOIA	8/26/2016	Any decisions of enforcement actions (or regulator/legal actions on parties whom the CFTC is regulating) of any kind that are not published via the CFTC's online press releases and portals.	Granted in Full
16-00118-FOIA	8/29/2016	Cpy of the Informa Economics report that was done which conducted a study in or around 2010 on making Dallas, Texas a delivery point on the ICE No. 2 Cotton futures contract.	Other Reasons - Not an agency record
16-00119-FOIA	8/31/2016	Records relating to the State of Florida v. Stephen August Haff	Other Reasons - No records
16-00120-FOIA	9/1/2016	Complaints and Pleadings regarding Ilya Levitis	Granted/Denied in Part
16-00121-FOIA	9/6/2016	Relevant to CFHRB13SO0145 COTS LEGAL EDUCATION SERVICES RELEVANT TO FINANCIAL MARKETS we seek a copy of contract and modifications	Granted in Full
16-00122-FOIA	9/13/2016	Complete electronic copy of any database or other information system used to track civil monetary sanctions, including any information about the disposition of those sanctions and the amount of money collected as a result.	Granted in Full
16-00123-FOIA	9/15/2016	Deposition of Patrick O'Malley	Granted/Denied in Part
16-00124-FOIA	9/19/2016	Request for a copy of the OTG investigation report and the investigation notes for the potential incident related to an IT security incident from March of 2015.	Denied in Full

17-00028-FOIA	12/2/2016	Any and all information collected by the CFTC or voluntarily provided by Weidong Ge ("Ge") and/or Sheenson Investments Ltd. ("Sheenson"), Chaos Investment Co. Ltd. (British Virgin Islands) ("Chaos BVI") and Chaos Investment Ltd. (Hong Kong) ("Chaos HK") regarding violations or potential violations of Section 4a(b)(2) of the Commodity Exchange Act ("Act"), 7 U.S.C. § 6a(b)(2) (2006), and Commission Regulation ("Regulation") 150.2, 17 C.F.R. § 150.2 (2011), between February 26, 2009 and July 18, 2011. (Date Range for Record Search: From 02/01/2009 To 07/31/2011)	Granted in Full
17-00029-FOIA	12/5/2016	All emails sent to and from the email address "jcgiancarlo@cftc.gov" and any email addresses ending in @senate.gov or @mail.house.gov; from 15 September 2016 through 15 November 2016. (Date Range for Record Search: From 09/15/2016 To 11/15/2016)	Granted in Full
17-00030-FOIA	12/5/2016	Information related to the regulatory disclosure of David Pfeffer (NFA ID: 0454020) on the NFA 8 R.	Granted/Denied in Part
17-00031-FOIA	12/6/2016	A copy of the CFTC agency briefing materials related to the Presidential transition for Agency Review Teams or Agency Landing Teams (Date Range for Record Search: From 07/01/2016 To 12/06/2016)	Granted in Full
17-00032-FOIA	12/8/2016	A copy of the meeting agendas and meeting minutes, since January 1, 2013, for the Small Agency Administrative Services Committee, chaired by Wes French, Manager, Programs and Planning Logistics and Operations at CFTC. (Date Range for Record Search: From 01/01/2013 To 12/07/2016)	Granted/Denied in Part
17-00033-FOIA	12/8/2016	All emails sent to or from the Office of the Secretary (including the Deputy Secretary) and the Office of General Counsel in which the Internet domains "trump.com", "trumporg.com", "pitt.gov", "donaldjtrump.com" or "donaldtrump.com" are in the email addresses in the To, From, CC, BCC, Subject or Body fields of the message. (Date Range for Record Search: From 06/03/2016 To 12/05/2016)	Granted in Full
17-00039-FOIA	1/10/2017	A copy of CFTC Form 1-FR-FCM for a former Illinois Business called ALARON TRADING CORPORATION, 822 W. Washington Blvd. Chicago, IL 60607. Employer ID 363648671 NFA ID 0223154 (Date Range for Record Search: From 01/01/2007 To 06/30/2007)	Granted/Denied in Part
17-00040-FOIA	1/13/2017	An alphabetical listing of all current CFTC employees (no contractors) showing Last Name First Name, Title, Division, Telephone Number and City.	Granted in Full
17-00041-FOIA	1/25/2017	A digital/electronic copy of the 10 (ten) most recent editions of the CFTC Quarterly Performance Review.	Granted/Denied in Part
17-00042-FOIA	1/25/2017	A digital/electronic copy of the CFTC Employee Code of Conduct.	Granted in Full
17-00043-FOIA	1/25/2017	A copy of the home page of the CFTCNet Intranet employees-only internal web site. A copy of each page linked directly by one click to the above home page (i.e. one level down)	Granted/Denied in Part
17-00044-FOIA	1/30/2017	Access to and copies of any and all electronic correspondence (i.e., email) received by or originating from Timothy Massad regarding corporate board of director positions. The requested correspondence would likely have been received by Mr. Massad or originate from Mr. Massad between June 5, 2014 and January 20, 2017. Relevant correspondence includes messages sent to gauge interest in becoming a director or invitations to join boards of directors. Relevant correspondence may contain the following terms, or derivations of the terms, in the subject line or body of the message: "corporate board", "board of directors", "director", "elect", "nominate". Relevant correspondence may originate from employees of the company (e.g., senior executives, administrative assistants) or from others operating on behalf of the company (e.g., executive search firms, members of the board of	Other Reasons - No records
17-00045-FOIA	2/1/2017	Data on all the claims of (request for) exemptive relief, pursuant to the exemptive letter D5IO issued on September 8, 2014 providing an opportunity for relief from certain CFTC provisions restricting marketing to the public. For each claim I would like to know 1) the name of the CPO claiming the relief 2) the name of the pool(s) for which the claim is being filed 3) the day when the email was sent. From September 8, 2014 until December 31, 2016. (Date Range for Record Search: From 09/08/2014 To 12/31/2016)	Granted/Denied in Part
17-00046-FOIA	2/1/2017	Data on all the CPOs and CTAs claiming exemptions under Regulation 4.7 and 4.13. For each claim I would like to know 1) the name of the CPO claiming the exemption 2) the name of the pool(s) for which the claim is being filed 3) the day when the filing was done. The time-frame I'm interested in is from January 1, 2005 to December 31, 2016. (Date Range for Record Search: From 01/01/2005 To 12/31/2016)	Granted in Full
17-00047-FOIA	2/1/2017	All experts reports regarding hedging or analyses regarding hedging submitted in any proceeding.	Other Reasons - Public Records
17-00048-FOIA	2/1/2017	All documents reflecting instances or allegations of violations of Regulation 1.3(z) (bona fide hedging). For example, all complaints, briefs, trial documents, administrative decisions, administrative guidance, etc. reflecting cases, instances, decisions, or allegations concerning bona fide hedging violations.	Other Reasons - Public Records
17-00049-FOIA	2/8/2017	All emails and other records of communication sent or received by any employees of the Commodity Futures Trading Commission, to or from employees in the office of U.S. Senator Charles Schumer, including but not limited to, the email domain "@schumer.senate.gov". (Date Range for Record Search: From 01/01/2015 To 01/20/2017)	Granted/Denied in Part
17-00050-FOIA	2/8/2017	Registration records for Boussard & Gavaudan Investment Management LLP (NFA #478654).	Granted/Denied in Part
17-00051-FOIA	2/9/2017	A list of all investigations closed during 2016 calendar year by the Office of the Inspector General	Other Reasons - Public Records
17-00052-FOIA	2/13/2017	Copies of 1) the trial transcript; 2) the statement expert Hedrick Bessembinder, 3) Affidavit of Joseph S. Rosenthal related to the DiPlacido Case, docket 01-23, available at http://www.cftc.gov/idc/groups/public/@IROPinionsandadjudicatoryorders/documents/legalpleading/ogcdiplacido110508.pdf	Granted/Denied in Part
17-00053-FOIA	2/13/2017	A copy of the CFTC legal memo in the Office of General Counsel discussing the legal implications of the agency being under one subcommittee's jurisdiction in House Appropriations and another subcommittee's jurisdiction in Senate Appropriations. I limit this request to and agree to accept in satisfaction of this public records request whatever document(s) can be located within a 2-hour time frame.	Other Reasons - No records
17-00054-FOIA	2/13/2017	A copy of the most recent "Hill briefing material" (materials provided to Hill offices when questions arise, for example the most recent times the issue was discussed with a Hill office in each case) on each of these issues: De minimis threshold level Harmonization - International and Domestic Extraterritorial application of rules Cost-Benefit Analysis Electronic Communications Privacy Act (ECPA) Whistleblower Office - general operations and use of resources "Bad Actor" Waivers Source Code and Regulation Automated Trading (RegAT) Data and Transparency related matters Automated/High-Frequency/Electronic Trading Position Limits and Bona Fide Hedge Exemptions Credit Risk Transfers End-User related concerns Live Cattle Futures And a copy of the briefing sent to the staff of Senators Warren, Warner and Rep. Cummings on the Derivatives Oversight and Taxpayer Protection Act,	Granted/Denied in Part
17-00055-FOIA	2/13/2017	A copy of each email sent between the White House (domain EOP.gov) and senior managers at the CFTC from January 20, 2017 until the present February 13, 2017. (Date Range for Record Search: From 01/20/2017 To 02/13/2017)	Granted in Full

17-00056-FOIA	2/13/2017	A copy of the most recent "Hill briefing material" (materials provided to Hill offices when questions arise, for example the most recent times the issue was discussed with a Hill office in each case) on each of these issues: De minimis threshold level Harmonization - International and Domestic Extraterritorial application of rules Cost-Benefit Analysis Electronic Communications Privacy Act (ECPA) Whistleblower Office - general operations and use of resources "Bad Actor" Waivers Source Code and Regulation Automated Trading (RegAT) Data and Transparency related matters Automated/High-Frequency/Electronic Trading Position Limits and Bona Fide Hedge Exemptions Credit Risk Transfers End-User related concerns Live Cattle Futures. And a copy of the briefing sent to the staff of Senators Warren, Warner and Rep. Cummings on the Derivatives Oversight and Taxpayer Protection Act,	Granted/Denied in Part
17-00057-FOIA	2/14/2017	Request for a Copy of Recent Hill Briefing Material and a Copy of Briefing Sent to the Staff of Senators Warren, Warner, and Rep. Cummings on the Derivatives Oversight and Taxpayer Protection Act approximately June/July 2016	Other Reasons - No records
17-00058-FOIA	2/13/2017	Records Regarding the Market for Soft Red Winter Wheat (SRW) Wheat from January 2008 through June 30, 2012	Denied in Full
17-00003-AP	2/15/2017	Appeal of request #16-00082	Other Reasons - Not a proper FOIA request for some other reason
17-00002-CONS	2/16/2017	Document consult in the FCC's response to FCC FOIA 2017-066 filed by Todd Shepherd, now with The Examiner, seeking all emails for certain senior FCC officials for the period October 18 -24, 2016.	Granted in Full
17-00059-FOIA	2/21/2017	A digital/electronic copy of the CFTC specific Recusal Policy for CFTC employees. This policy would be in the office of the Designated Agency Ethics Officer.	Other Reasons - No records
17-00060-FOIA	2/22/2017	Any records of preliminary inquiries, investigations, examinations, audits, consumer complaints (civil injunction proceedings), administrative proceedings, whistleblower actions and disciplinary actions against Aurelius Capital L.P.	Granted/Denied in Part
17-00061-FOIA	2/24/2017	A copy of the document: CFTC Policy: Responding to Incidents Involving CFTC Confidential Information	Granted/Denied in Part
17-00062-FOIA	2/24/2017	A digital/electronic copy of each of the two recent CFTC policies relating to retaliation prohibition. I limit this request to the two policies developed in late 2016 or early 2017. I also request a digital/electronic copy of the recently updated Contracting Officer's Representative (COR) training programs.	Granted/Denied in Part
17-00063-FOIA	2/15/2017	Interagency agreements between CFTC and other federal entities regarding the use of administrative judges or administrative law judges. (Date Range for Record Search: From 01/01/2014 To 12/31/2016)	Granted in Full
17-00064-FOIA	2/27/2017	Any complaints filed through the Commodity Futures Trading Commission's Division of Enforcement against Enterprise Products Partners for the period beginning January, 2013 to February 2017 (present). (Date Range for Record Search: From 01/01/2013 To 02/27/2017)	Other Reasons - No records
17-00065-FOIA	2/28/2017	Open interest positions, both long and short, of index traders in the 12 agricultural commodity futures contracts of: Cocoa, Coffee, Corn, Cotton, Feeder Cattle, Lean Hogs, Live Cattle, Soybean Oil, Soybean, Sugar, Wheat (CBOT), and Wheat (KCBOT) in the years 2004 and 2005 (weekly data). My top priorities are Corn, Soybeans and Wheat (CBOT). (Date Range for Record Search: From 01/01/2004 To 12/31/2005)	Other Reasons - No records
17-00066-FOIA	3/1/2017	Records from Jan. 1, 2010 to present day related to nomination procedures on Enbridge Inc.'s Mainline system and TransCanada Corp's Keystone pipeline including any responses from the Commission. (Date Range for Record Search: From 01/01/2010 To 03/01/2017)	Other Reasons - No records
17-00067-FOIA	3/3/2017	Copies of any and all non-published "no-action" and other Commodity Futures Trading Commission ("Commission") staff letters issued since January 1, 2010, in which the Commission opines or declines to opine as to whether a person or entity is a "commodity pool" or a "commodity pool operator" within the meaning or intent of the Commodity Exchange Act ("CEA") or Commission regulations, including without limitation that certain no-action letter issued to an unknown entity in December 2012 declining to opine as to whether the Company at issue in said letter was a pool within the meaning and intent of Section 1a(10) of the CEA or Commission Regulation 4.10(d)(1). (Date Range for Record Search: From 01/01/2010 To 03/02/2017)	Denied in Full
17-00068-FOIA	3/3/2017	The title, number, issuance date, and classification/sensitivity level of each report produced by the Commodity Futures Trading Commission (CFTC) Office of the Inspector General (OIG) and not posted on the OIG's public-facing web page at http://www.cftc.gov/About/OfficeoftheInspectorGeneral/index.htm . The date range for this request is calendar years 2012 through 2016. (Date Range for Record Search: From 01/01/2012 To 12/31/2016)	Other Reasons - No records
17-00069-FOIA	3/6/2017	A digital/electronic copy of the FY2018 Congressional Budget Justification for CFTC.	Other Reasons - No records
17-00070-FOIA	3/9/2017	Data related to: 1) daily settlement prices of the diamonium of phosphate (DAP) futures contract, 2) daily trading volume split into two sub groups (cash settled contracts and physical delivered ones), 3) for cash settled contracts, the index used for the settlement procedure, 4) for physical delivered contracts, the delivery location. Time frame is for DAP CBOT futures contract which started trading in 1991 and was delisted in 1997. (Date Range for Record Search: From 01/01/1991 To 12/31/1997)	Other Reasons - No records
17-00071-FOIA	3/9/2017	Records regarding any and all documents received from foreign regulatory agencies, including without limitation Australian agencies, regarding an investigation into, or enforcement action against the company, Your Trading Room; any and all documents regarding enforcement actions the CFTC has taken against Your Trading Room; and any and all memoranda from CFTC staff to the Commission recommending an enforcement action against Your Trading Room.	Granted/Denied in Part
17-00072-FOIA	3/15/2017	All documents reflecting, for cotton, deliverable supply estimates, deliverable supply analyses, deliverable supply opinions, and deliverable supply definitions.	Other Reasons - No records
17-00073-FOIA	3/15/2017	All briefing and hearing/court submissions made in Volkart Brothers, Inc. v. Freeman (Docket No. 82).	Other Reasons - No records
17-00074-FOIA	3/20/2017	Records related to the civil case number 3:11-cv-023-RJC-DCK in the Western District of North Carolina. Particularly, information related to the investigation of the Black Diamond ponzi scheme by the Commodity Futures Trading Commission (CFTC). The type of document to search for should be for all correspondence including, but not limited to, written letters, emails, text messages, phone records, inter-office memos, inter-agency memos, and any other electronically stored media of all employees, officers, agents, and representatives of the CFTC to or from the following individuals, officers, agents, employees or representatives of the sixteen entities listed below. 1) The CFTC 2) Community One Bank 3) National City Bank 4) Fifth Third Bank 5) JPMorgan Chase Bank 6) Deanna Salazar 7) Bryan Coats 8) Jeffrey Toft 9) Don Winkler 10) Michael Murphy 11) Stephen Lacy 12) Chad Sloat 13) Any individual affiliated, related, or employed by Jonathan Davey 14) Any correspondence mentioning Divine Circulation Services Ltd., Divine Circulation Services LLC, or DCS 15) Any correspondence mentioning Safe Harbor Wealth Inc. or Safe Harbor Wealth Investments Inc. 16) The Internal Revenue Service (Date Range for Record Search: From 11/01/2008 To 12/31/2010)	Denied in Full
17-00075-FOIA	3/21/2017	In the cftc complaint number 85-12, In the Matter of Nelson Bunker Hunt et. al. starting page 36 there is a summary of witness testimony extending through page 59. I would like to receive copies of any or all of these testimonials in full. I am pleased to accept either hard copy or electronic versions.	Other Reasons - No records

17-00076-FOIA	3/22/2017	Any complaints filed to the Commodity Futures Trading Commission (CFTC) against Vitol, or any units of Vitol including trading and marketing arms, from January 2015 to present. I seek detailed copies of complaints filed to the CFTC or any of its units, including enforcement and investigations. (Date Range for Record Search: From 01/01/2015 To 03/22/2017)	Denied in Full
17-00077-FOIA	3/22/2017	Any complaints filed to the Commodity Futures Trading Commission (CFTC) against BP, or any units of BP including trading and marketing arms, from January 2015 to present. I seek detailed copies of complaints filed to the CFTC or any of its units. (Date Range for Record Search: From 01/01/2015 To 03/22/2017)	Denied in Full
17-00078-FOIA	3/24/2017	A digital/electronic copy of the following CFTC OIG Semi-Annual Reports for the time period covering March 1996 through September 1999. (Date Range for Record Search: From 03/01/1996 To 09/30/1999)	Granted in Full
17-00079-FOIA	3/24/2017	All email correspondence sent or received by the following officials (or acting officials, if appropriate) in the ten business days prior to the date you commence your search: Chair of the CFTC and Chief of Staff; Inspector General and Deputy Inspector General, Beachhead team member Sharon Brown-Houska	Other Reasons - Records not reasonably described
17-00080-FOIA	3/24/2017	All records documenting or memorializing training given to staff of the Office of the Chair since January 1, 2016 about records management or retention	Granted/Denied in Part
17-00081-FOIA	3/24/2017	Copies of all email correspondence exchanged between Lloyd Beers and any CFTC email address since January 1, 2016	Granted in Full
17-00082-FOIA	3/29/2017	All documents related in whole or in part to any matter related to energy market surveillance worked on by Mr. Jeremy Cusimano during Mr. Jeremy Cusimano's employment with CFTC from July 2009 through December 2012, including but not limited to, all documents relating to market surveillance that were prepared by, reviewed by, and/or prepared or reviewed under the direction of, Mr. Jeremy Cusimano during his term of employment with CFTC from July 2009 through December 2012. (Date Range for Record Search: From 07/01/2009 To 12/31/2012)	Granted/Denied in Part
17-00083-FOIA	4/3/2017	Information with respect to the case the CFTC filed vs. Parnon in May 2011. I request briefs and economist expert witness statements from both the CFTC and the defendants.	Other Reasons - Public Records
17-00084-FOIA	3/30/2017	A copy of all ethics waivers and recusal agreements/records issued by CFTC from January 1, 2017 to the present. In the case of waivers issued under Executive Order 13770, I am requesting copies of the waivers that have been provided to the head of the agency, pursuant to Section 3(c). (Date Range for Record Search: From 01/01/2017 To 03/30/2017)	Granted/Denied in Part
17-00085-FOIA	4/7/2017	Copies of 1) documents at the Commodity Futures Trading Commission (CFTC) identifying the designation of the Regulatory Reform Officer required by Executive Order 13777. 2) documents at the Commodity Futures Trading Commission (CFTC) identifying the designation of the members of the Regulatory Reform Task Force, as required by Executive Order 13777. You may limit this request to documents dated since February 22, 2017. (Date Range for Record Search: From 02/22/2017 To 04/07/2017)	Other Reasons - Public Records
17-00086-FOIA	4/13/2017	Requesting a copy of the following documents, or documents containing the following information, be provided to me: I would like to obtain data on all Commodity Futures Trading Commission direct leased properties excluding leases negotiated through the General Services Administration (GSA) as follows: 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,	Granted/Denied in Part
17-00087-FOIA	4/18/2017	Any emails, communications, memos, presentations, documents or otherwise pertaining to President Donald Trump's executive order on regulatory reform (https://www.whitehouse.gov/the-press-office/2017/02/24/presidential-executive-order-enforcing-regulatory-reform-agenda). Specifically, I am looking for documents and communications regarding the selection of regulatory reform officers and establishment of regulatory reform task forces in Section 2 and Section 3 of the executive order.	Other Reasons - Public Records
17-00088-FOIA	4/20/2017	Copies of your comprehensive record disposition schedule. This includes schedules for all electronic, paper, and non-electronic records, as well as any schedules used by employees for internal use. If a comprehensive and final schedule are not available, we request the latest drafts of these schedules, including those submitted to NARA for review.	Denied in Full
17-00089-FOIA	4/21/2017	Copies of all records documenting or memorializing documenting agency actions and correspondence regarding Executive Order 13777. These records include, but are not limited to, the creation of a Regulatory Reform Task Force, the membership of that taskforce, the appointment of any Regulatory Reform Officer, as well as any correspondence, attachments, memorandum, legal opinions, policy paper, or any other records created or received by members of that task force, the Office of Chair, Regulatory Reform Officer Mike Gill or any other employee of the CFTC. Furthermore, we request all records documenting or memorializing any agency actions, correspondence, attachments, memorandum, legal opinions, policy paper, or any other records created or received about the regulatory reform effort "Project KISS", as discussed by Acting Chairman Giancarlo in his speech on March 15, 2017 to the 42nd Annual International Futures Industry Conference in Boca Raton, FL.	Granted/Denied in Part
17-00090-FOIA	4/24/2017	The CFTC in 1976 and 1985 issued studies or reports on the question of whether the futures industry should benefit from a customer insurance regime similar to those in place for the banking industry (in the form of the Federal Deposit Insurance Corporation) and the securities industry (in the form of the Securities Investor Protection Corporation). I am looking for these two studies or reports.	Granted in Full
17-00091-FOIA	4/25/2017	Data on index trader positions for 2004 and 2005, as those years are not currently publicly available. This data was collected by your agency and used by the Permanent Subcommittee on Investigations of the US Senate Committee on Homeland Security and Government Affairs for a report, but the data itself has not been released. (Date Range for Record Search: From 01/01/2004 To 12/31/2005)	Other Reasons - No records
17-00092-FOIA	4/26/2017	All documents regarding "Effex Capital, LLC" or "John Dittami" received by the Commission from any third party regarding foreign currency execution, foreign currency pricing or the rendering or providing of foreign currency liquidity to institutional counterparts, or counterparts maintaining registration as a registered Forex Dealer Member or registered Futures Commission Merchant, including but not limited to Forex Capital Markets, LLC; NFA ID No. 308139	Other Reasons - No records
17-00093-FOIA	4/28/2017	All emails received by your agency between January 20, 2017, and April 28, 2017, from any Republican National Committee domain, including but not limited to emails from rnc.org	Other Reasons - No records

17-00094-FOIA	5/8/2017	Copies of the following materials: 1. All information or records referenced, relied on or considered by the Commodity Futures Trading Commission ("CFTC") in connection with its investigation conducted by the CFTC's Division of Enforcement into TOTAL Gas & Power, North America, Inc. ("TGPNA"), Therese Tran (a/k/a Therese Nguyen), and Aaron Hall in respect of the price of natural gas in the southwest United States between 2009 and 2012. Compare Order Instituting Proceedings Pursuant to Sections 6(c) and 6(d) of the Commodity Exchange Act, Making Findings and Imposing Remedial Sanctions, In the Matter of TOTAL Gas & Power, North America, Inc. and Therese Tran, CFTC Docket No. 16-03 (CFTC, filed Dec. 7, 2015) with Complaint for Declaratory Relief, TOTAL Gas & Power, North America, Inc., et al. v. Federal Energy Regulatory Commission, et al., 16-cv-28 (RAJ)(W.D. Tx) (filed Jan. 27, 2016). 2. Information, documents, data and/or records (including, without limitation, trading records and/or position reports) concerning trading in CME Group, Inc. and/or NYMEX natural gas futures contracts ("NYMEX natural gas futures contracts"); Intercontinental Exchange, Inc. ("ICE") natural gas futures contracts and financial products corresponding to contracts based upon prices at trading hubs in the southwest United States, including El Paso Natural Gas Co., Permian Basin ("Permian Basin"), El Paso San Juan Basin ("San Juan"), Southern California Gas Co. ("SoCal") and West Texas, Waha ("Waha") ("ICE natural gas futures contracts and financial products"); and/or trading in natural gas during the time period June 2009 to June 2012. 3. Information, documents, data and/or records concerning the prices of NYMEX natural gas futures contracts, ICE natural gas futures contracts and financial products, and/or the prices of natural gas during the time period June 2009 to June 2012. 4. Information, documents, data and/or records concerning communications (including, without limitation, instant messages or "IMs") concerning the trading of NYMEX natural gas futures contracts, ICE natural gas futures contracts and financial products, and/or the trading of natural gas during the time period June 2009 to June	Other Reasons - Request withdrawn
17-00095-FOIA	5/9/2017	Documents regarding the CFTC's investigation, prosecution and settlement of charges against Forex Capital Markets, LLC, its parent company, FXCM Holdings, LLC, two founding partners, Dror Niv and William Ahdout, as described in the CFTC's press release dated February 6, 2017.	Granted/Denied in Part
17-00096-FOIA	5/11/2017	1. A list of names/job titles of all political appointees hired since January 20, 2012. 2. Copies of the signed ethics pledge required under the Executive Order issued by President Trump on January 28, 2017. 3. Copies of any waivers relating to the ethics pledge required under the Executive Order issued by President Trump on January 28, 2017.	Granted in Full
17-00097-FOIA	5/11/2017	(1) All email correspondence involving any of the following individuals, from January 20, 2017 to the present: Mike Gill. (2) All electronic calendars or calendar entries for Mike Gill, including any calendars maintained on behalf of these individuals (for example, by an administrative assistant) from January 20, 2017 to the present. For any calendar entries in Outlook or similar programs, the documents should be produced in "memo" form to include all invitees, any notes and all attachments. Please do not limit your search to Outlook calendars. I request all electronic calendars, whether on government-issued or personal devices, used to track, coordinate or otherwise schedule how these individuals allocate their time on agency-related business. (3) All logs or other records tracking incoming and outgoing telephone calls made or received by any of the following individuals: Mike Gill, from January 20, 2017, to the present. (4) Any conflicts or ethics waivers or authorizations issued for Mike Gill pursuant to 5 C.F.R. § 2635.502. (5) Names of any other individuals on your agency's Regulatory Reform Task Force and their job titles.	Granted/Denied in Part
17-00098-FOIA	5/11/2017	A copy of the administrative order issued by the Commodity Futures Trading Commission from September 22, 1981 entitled In re Application of the National Futures Association Order Granting Registration and Approving Rules.	Granted in Full
17-00099-FOIA	5/23/2017	1. All records responsive to the OGE data call sent on April 28, 2017. American Oversight seeks the production of those records regardless of whether or not they have been—or will be—provided to OGE. 2. If, at the time of your search, your agency has made a determination not to comply with the OGE data call, whether in whole or in part, American Oversight seeks all records reflecting the basis for the decision not to comply with the data call. Please include as responsive any records reflecting any legal or policy basis for not complying with the data call as well as any records reflecting any guidance,	Granted/Denied in Part
17-00100-FOIA	5/24/2017	1) Memorandum from the Division of Trading and Markets on the Chicago Mercantile Exchange's Proposed New rule 575 and Cross-Exchange Access Program (Sept. 18, 1992) (The Office of Secretariat has a copy of this document, per Mr. John Wheeler) 2) Commission's approval on September 25, 1992 of Chicago Mercantile Exchange ("CME") Rule 575 permitting the CME to implement a cross-exchange access program with the Marche a Terme International de France ("MATIF") through the CME trading system.	Granted in Full
17-00101-FOIA	5/25/2017	Copies of all ethics waivers granted pursuant to Executive Order 13770 (Jan. 28, 2017) for officials within the Commodity Futures Trading Commission from January 28, 2017 to present. (Date Range for Record Search: From 01/28/2017 To 05/25/2017)	Other Reasons - No records
17-00102-FOIA	5/30/2017	Copies of the following records on an expedited basis: Waivers issued or approved under Executive Order 13770, and/or under 18 U.S.C. § 208(b)(1), and/or under 5 C.F.R. § 2635.503(c), and authorizations issued or approved under 5 C.F.R. § 2635.502(d), to individuals who met the definition of "appointee" under Executive Order 13770 at any time during the period from January 20, 2017, to this date, for officials in the Commodity Futures Trading Commission. Disclosure of the requested information is in the public interest because it's likely to contribute significantly to public understanding of the operations or activities of the government and is not primarily in my commercial interest. (Date Range for Record Search: From 01/20/2017 To	Granted/Denied in Part
17-00103-FOIA	5/30/2017	1. A list of any and all political appointments at the agency appointed from January 20, 2017 until the date of your final response to this request. 2. Copies of resumes for any and all political appointees hired since January 20, 2017 until the date of your final response to this request. (Date Range for Record Search: From 01/20/2017 To 05/30/2017)	Granted/Denied in Part
17-00104-FOIA	5/31/2017	Copies of (or access to) documents, pertaining to the progress of your agency's Regulatory Reform Task Force, specifically: (1) The report and any related documents that the regulatory reform task force has provided to the head of the agency to meet the requirements of section 3(g) of Executive Order 13777, detailing the progress of the task force. On February 24, 2017, President Trump signed Executive Order 13777, "Enforcing the Regulatory Reform Agenda," which established a federal policy "to alleviate unnecessary regulatory burdens" on the American people. Section 3(a) of the EO directs federal agencies to establish a Regulatory Reform Task Force. Section 3(g) directs federal agencies to, within 90 days of the date of the order, and on a schedule determined by the agency head thereafter, have each Regulatory Reform Task Force provide a report to the agency head detailing the	Granted/Denied in Part
17-00105-FOIA	6/1/2017	A list of all companies that are exceeding the maximum amount of contracts of contracts allowed by rule in the oil markets. For instance, USO is an entity that has exceeded the maximum amount of contracts allowed by exchange rules.	Other Reasons - No records
17-00106-FOIA	6/5/2017	Copies of five of your most recent futures contracts on file. I simply want to see what a futures contract actually looks like.	Other Reasons - Public Records
17-00107-FOIA	6/5/2017	Emails between CFTC Acting Chairman Giancarlo and Chairman Jay Clayton of the US Securities and Exchange Commission between May 1, 2017, and May 8, 2017, including messages on which Acting Chairman Giancarlo was cc'd or bcc'd.	Other Reasons - No records

17-00108-FOIA	6/9/2017	All ethics waiver requests received by the U.S. Commodity Futures Trading Commission from Jan. 1, 2016, to June 9, 2017, along with any corresponding memoranda regarding grants or denials of those requests.	Other Reasons - No records
17-00109-FOIA	6/9/2017	Request for copy of 8R application of Emily Hope Portney NFA #277661	Granted/Denied in Part
17-00110-FOIA	6/16/2017	Copies of the complaint (or complaints) filed in case CFTC 97-13 (in which Ilya Levitis was a defendant) as well as the final order/ disposition and/or settlement and any testimony or deposition testimony of Ilya Levitis. This case was from 1997 and was settled in 2000.	Granted/Denied in Part
17-00111-FOIA	6/19/2017	Access to and copies of all logs of congressional correspondence regarding correspondence to or from any officials at the Commodity Futures Trading Commission and Representative Mimi Walters between January 1, 2015 to the date of my request's receipt. In the event formal congressional logs are not maintained between the Commodity Futures Trading Commission and members of Congress, I request access to and copies of all records of or reflecting communications to or from any officials at the Commodity Futures Trading Commission and Representative Mimi Walters between January 1, 2015 to the date of my request's receipt. (Date Range for Record Search: From 01/01/2015 To 06/19/2017)	Other Reasons - No records
17-00112-FOIA	6/28/2017	Request One: Copies of records - from the CFTC investigation(s) of possible manipulation and collusion with respect to various benchmark rates, including the London Interbank Offered Rate ("LIBOR") and the Euro Interbank Offered Rate ("EURIBOR") - that would indicate the scope, or number, or amount of pages, of documents received from Citibank or Citigroup affiliates or entities; including but not limited to, production letters, emails indicating submission or receipt of a production, any documents received in accordance to the CFTC Data Delivery Standards, or data/printouts from the CFTC document review system reflecting the number of documents or number of pages uploaded onto the platform Request Two: Copies of records - from the CFTC investigation(s) of possible manipulation and collusion with respect to various benchmark rates, including the London Interbank Offered Rate ("LIBOR") and the Euro Interbank Offered Rate ("EURIBOR") - that would indicate the scope, or number, or amount of pages, of documents received from and JPMorgan Chase & Co. or JPMorgan Chase Bank, NA subsidiaries, affiliates or entities; including but not limited to, production letters, emails indicating submission or receipt of a production, any documents received in accordance to the CFTC Data Delivery Standards, or data/printouts from the CFTC document review system reflecting the number of documents or number of pages uploaded onto the platform	Denied in Full
17-00113-FOIA	6/30/2017	Information, documents or data concerning any manipulation or any attempted manipulation of the Chicago Mercantile Exchange ("CME") nonfat dry milk ("NFDM") spot/cash or futures markets during the time period September-October 2015. This includes, without limitation, any manipulation or attempted manipulation of the CME NFDM spot/cash price on or about September 25, 2015 when the NFDM spot price rose from approximately 94 cents to approximately \$1.10 apparently as the result of the submission of bid(s) that went unfilled. (Date Range for Record Search: From 09/01/2015 To 10/31/2015)	Other Reasons - No records
17-00114-FOIA	7/3/2017	A copy of each employee recusal letter or employee recusal determination at CFTC during Calendar Years 2013, 2014, 2015, 2016 and 2017 to date.	Granted/Denied in Part
17-00115-FOIA	7/3/2017	A digital/electronic copy of the monthly and/or quarterly recurring management reports for each of the Regional Offices, during the time period Calendar Years 2016 and 2017 to date.	Other Reasons - No records
17-00116-FOIA	7/5/2017	A copy of each CFTC Views (or Views Letters), which are statements of the CFTC position, thoughts and comments on specific issues or legislation being considered by Congress. You may limit this request to Views produced during the time period Fiscal Years 2015, 2016, and 2017 to date. (Date Range for Record Search: From 01/01/2015 To 07/05/2017)	Granted in Full
17-00117-FOIA	7/5/2017	I am requesting information or records regarding Comment for Proposed Rule 81 FR 85334, Comment No: 61244, dated 6/13/2017. A meeting was held on June 9, 2017 between the CFTC staff and outside parties from the MFA, Bridgewater Associates, AQR Capital Management, Two Sigma Investments, Citadel, Kepos Capital and HBK Capital Management. I am requesting minutes of the meeting and other materials related to it.	Other Reasons - No records
17-00118-FOIA	7/6/2017	Request access to and copies of all congressional correspondence logs regarding correspondence between officials at the CFTC and Rep. Leonard Lance between January 1, 2009 and May 3, 2017.	Other Reasons - No records
17-00119-FOIA	7/6/2017	Direct correspondence between CFTC and U.S. Rep. Evan Jenins between January 2015-present	Other Reasons - No records
17-00120-FOIA	7/11/2017	On August 22, 2008 the Chicago Mercantile Exchange closed on its acquisition of NYMEX Holdings, Inc. Sometime shortly thereafter, potentially in 2009 or 2010, a competitor of CME and NYMEX (ICE - Intercontinental Exchange Group, Inc.) notified the CFTC about concerns they had with Natural Gas margins in the NYMEX markets (now owned by CME). In response, the CFTC sent a letter to the CME related to the matter of Initial Margin Rates for Natural Gas markets. I would like a copy of that letter.	Other Reasons - No records
17-00121-FOIA	7/12/2017	I would like to request an electronic listing of all CFTC employees, in the years 1996-2016. Specifically, I am seeking a spreadsheet, database or delimited text file(s) - not paper records or a PDF created from data - with the following fields for each employee, every year: name; occupation (e.g. attorney or accountant); position title (e.g., staff accountant); division (e.g., Enforcement); location of duty; hire date; termination date; pay level (e.g., CT-13); annual salary; overtime pay; incentive pay (bonus); and prizes or awards accepted. Please indicate if an employee was promoted, or moved to a different location / division, during the year. If you cannot produce any of these fields, please let me know. (Date Range for Record Search: From 1996-2016)	Granted/Denied in Part
17-00122-FOIA	7/13/2017	(1) Copies of all incoming-and-outgoing correspondence between Adam Putnam and the Chairman of the Commodity Futures Trading Commission and the Commissioners of the Commodity Futures Trading Commission from 2001 to 2016. (2) Copies of all incoming-and-outgoing correspondence between Adam Putnam (in his capacity as a US Congressman or the Florida Agriculture Commissioner) and the Commodity Futures Trading Commission's Office of Legislative Affairs from 2001 to 2016.	Other Reasons - No records
17-00123-FOIA	7/13/2017	All communications between Mike Gill and Gary Cohn of the National Economic Council between Jan. 20 and present day.	Other Reasons - No records
17-00124-FOIA	7/14/2017	Requesting copies of each semi-annual report that the CFTC published during 1995-2000 that provided selected FCM financial data pertaining to net capital and customer segregated funds. The reports that I am seeking are essentially identical to the monthly reports that can now be found on the CFTC website beginning in March 2002 and called "Financial Data for FCMs" reports.	Other Reasons - No records
17-00125-FOIA	7/20/2017	Please provide a listing of all current CFTC staff as of July 21, 2017. For each individual include: Name, Title, Pay Plan, Series, Grade, Base Salary, Total Salary, SCD Leave Date, CFTC Start Date, Date in Grade, Division, Monetary Award for FY 2016.	Granted/Denied in Part
17-00126-FOIA	7/24/2017	Copies of all documents and orders/determinations in regards to the Form WB APP (b)(6)	Granted/Denied in Part
17-00127-FOIA	7/24/2017	Peregrine Broadbent Regulatory Disclosure	Granted/Denied in Part

17-00128-FOIA	7/24/2017	1. All guidance regarding using properties owned by the Trump Organization for government-sponsored conferences or meetings. 2. All emails regarding using properties owned by the Trump Organization for government-sponsored conferences or meetings. 3. All guidance regarding attending conferences or meetings at properties owned by the Trump Organization. 4. All emails regarding attending conferences or meetings at properties owned by the Trump Organization. 5. All guidance regarding reimbursement for meals, overnight stays, or other expenses incurred at properties owned by the Trump Organization. 6. All emails regarding reimbursement for meals, overnight stays, or other expenses incurred at properties owned by the Trump Organization. 7. Records sufficient to demonstrate total costs reimbursed or paid directly by the agency for visits to any property owned by the Trump Organization. Reimbursements include payments for the cost of individual airfare of government employees and their spouses, costs for government transportation, conference fees, rental fees, lodging, meals, rental vehicles, overtime payments, and any other reimbursable expenses. (Date Range for Record Search: From 01/20/2017 To 07/24/2017)	Other Reasons - No records
17-00129-FOIA	7/25/2017	All records regarding 2016 and 2015 employee compensation data held by the CFTC	Granted in Full
17-00130-FOIA	7/27/2017	All documents related to the enforcement, and discovery of violations against (b)(6)	Granted/Denied in Part
17-00131-FOIA	8/1/2017	Copies of (or access to) all emails between agency employee Mike Gill and anyone with any of the following domain names: @Crowell.com, @managedfunds.org, @aima.org or @acsa-cotton.org. Please provide those emails for the period spanning January 20 to the date this FOIA is processed. (Date Range for Record Search: From 01/20/2017 To 08/01/2017)	Granted/Denied in Part
17-00004-AP	8/2/2017	Appeal of FOIA Request 17-00124	Other Reasons - No records
17-00132-FOIA	8/2/2017	Waivers issued or approved under Executive Order 13770 to individuals who met the definition of "appointee" under Executive Order 13770 at any time during the period from April 30, 2017, to this date, for officials in the Commodity Futures Trading Commission. (Date Range for Record Search: From 04/30/2017 To 08/02/2017)	Other Reasons - No records
17-00133-FOIA	8/2/2017	Re: CIVIL ACTION NO. 16-CV-6734 United States CFTC v. Alvin Guy Wilkinson; Chicago Index Partners, L.P.; and Wilkinson Financial Opportunity Fund, L.P. May to November 2016 information and documents including and related to: 1) The deposition of Patrick O'Malley before Attorney Michael Frisch at al.; 2) The deposition of Alexandra (Chipurnoi) before Attorney Michael Frisch at al.; 3) The witness (Wilkinson victim) declarations related to the SRO; 4) The account information regarding the Wilkinson victims from Patrick O'Malley and O'Malley & Kwit; the corresponding information regarding the Chicago Index Partners, L.P. and Wilkinson Financial Opportunity Fund, L.P. (and any other funds containing Wilkinson victim funds) at Harris Bank (221 E. Walton, Chicago or other branch); and 5) The deposition of any Harris Bank official in this matter and/or any information obtained from Harris Bank regarding Civil Action No. 16-CV-6734. Re: NFA Case No. 16-MRA-001 Apercu International PR L.L.C. & Alvin Guy Wilkinson information and documents including and related to: Auditor and bank documents, from February 2015 to December 2015.	Granted/Denied in Part
17-00134-FOIA	7/27/2017	All documents or information related to In the Matter of Daniel Shak and SHK Management LLC	Granted/Denied in Part
17-00135-FOIA	8/7/2017	Copies of all documents outlined in detail below: • Any Freedom of Information Act requests filed November 2012 to present regarding Senator Joe Manchin or the staff or representatives of Senator Joe Manchin, in both his capacity as a United States Senator and as a private citizen. • Any responsive documents sent out by your agency in response to the above Freedom of Information Act requests	Other Reasons - No records
17-00136-FOIA	8/8/2017	With reference to the CFTC Registration Deficient (RED) List of foreign entities that are not appropriately registered with the Commission, please provide the following: a) the names of the entities that operate under companies with a registered address in the United Kingdom (i.e. those that use a shell company based in the UK), and, more specifically b) a breakdown of where in the United Kingdom these companies are registered - i.e. Northern Ireland, England, Scotland and Wales. Please restrict your search to the most recently updated RED List, which at the time of the request consisted of 105 entities.	Other Reasons - No records
17-00005-AP	8/11/2017	Appeal of 17-00076-FOIA	Completely Affirmed
17-00137-FOIA	8/14/2017	In 1997-1998 the Commission investigated the "sharp rise" in silver prices (see 1998 CFTC Annual Report, p. 58). Warren Buffett's Berkshire Hathaway reported it had accumulated 129 million ounces of silver. Phibro said it was the broker. I would like to see all communications between the CFTC and these companies and their officers. I would also like to see CFTC internal notes on this incident. (Date Range for Record Search: From 07/01/1997 To 11/30/1998)	Other Reasons - No records
17-00138-FOIA	8/17/2017	Calendar and daily schedules of the Chairman whether Acting or Appointed and all Commissioners of the CFTC from January 20, 2017 through August 7, 2017	Granted/Denied in Part
17-00001-FPA	8/24/2017	Full disclosure and any and all pertinent information related to/concerning (b)(6) and any and all pertinent information of any security, CUSIP numbers, or symbols identifying particulars assigned to the individual to obtain access to that information.	Other Reasons - No records
17-00139-FOIA	8/25/2017	Copies of any of the following documents produced since January 1, 2016 involving Carl Icahn or his companies: "Opening and Closing Reports, including 'Case Closing Recommendation,' 'Matter Under Inquiry Summary,' 'Investigation Summary,' and/or similar documents and/or reports." (Date Range for Record Search: From 01/01/2016 To 08/25/2017)	Other Reasons - No records
17-00140-FOIA	8/30/2017	A copy of each record in the Secretariat Correspondence Locator System associated with the "Trump Organization", including correspondence to or from the Trump Organization, during all years encompassed by the SCLS (approximately 1989 to present). (Date Range for Record Search: From 01/01/1989 To 08/30/2017)	Other Reasons - No records
17-00141-FOIA	8/30/2017	A copy of the internal CFTC Manual or Handbook or Guidance associated with the CFTC Reparations Program.	Other Reasons - Request withdrawn
17-00002-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00003-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00004-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00005-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records

17-00006-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00007-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00008-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00009-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00010-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00015-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00016-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00017-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00023-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00024-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00025-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00026-FPA	8/26/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00027-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00028-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00029-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00142-FOIA	9/6/2017	Request for digital/electronic copy of the Commission meeting minutes for each meeting during calendar year 2016 and 2017 to August 27, 2017	Other Reasons - No records
17-00143-FOIA	9/13/2017	Records related to the management and administration - as well as any investigation into--any 401(k) retirement savings plan sponsored by BlackRock, Inc., BlackRock Institutional Trust Co., N.A. ("BTC"), or any of its affiliates or subsidiaries (collectively, "BlackRock"). In addition, records related to the collective trust investments (also called "Collective Funds") of BTC. (Date Range for Record Search: From 10/01/2006 To 09/13/2017)	Other Reasons - No records
17-00144-FOIA	9/12/2017	A digital/electronic copy of the Index to Commission meeting recordings.	Granted/Denied in Part
17-00145-FOIA	9/13/2017	A copy of the listing of "implementation project plans".	Other Reasons - Request withdrawn
17-00149-FOIA	9/18/2017	Copies of all non-email messages (i.e. text messages, gChat, iMessage etc.) between agency spokeswoman Erica Richardson and agency official Michael Gill from September 13, 2017 to September 18, 2017. (Date Range for Record Search: From 09/13/2017 To 09/18/2017)	Other Reasons - No records
17-00150-FOIA	9/18/2017	Copies of (1) all emails sent to or received by Christopher Giancarlo or Michael Gill since October 1, 2017 that include the word LedgerX. Please include emails from both their government email accounts and work-related emails on any personal accounts. (2) All emails between agency officials Michael Gill and Christopher Giancarlo on January 26, 2017. Please include emails from both their government email accounts and work-related emails on any personal accounts.	Other Reasons - No records
17-00151-FOIA	9/18/2017	Copies of: (1) all emails sent to or received by CFTC official Michael Gill (since October 1, 2016 to the date this FOIA is processed) that include any of the following terms: "Alliance Risk" "Banco de la Republica" "Independent Petroleum Producers Association" "IPPA" "FX SpotStream" "ICAP" "FCStone" "FC Stone" "Hess" "Kolmar" "Liquid Environmental Solutions" "Liquidity Match" "Siemens" "Pace Global" "Energy Authority" "San Diego County Employees Retirement Association" "Spot Markets"; (2) all emails between CFTC official Michael Gill (since October 1, 2016 to the date this FOIA is processed) and anyone who has an email address with any of the following domains: @thecallianccriskgroup.com @banrep.gov.co @ipaa.org @fxspotstream.com @icap.com @intlfcstone.com @hess.com @kolmargroup.com @kolmar.com @liquideviro.com @siemens.com @teainc.org @sdcounty.ca.gov. For both parts of this request, please include emails from both his government email accounts and work-related emails on any	Granted/Denied in Part

17-00030-FPA	9/7/2017	Requeste for all records, files, both hard and electronic copies, all emails, notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to named individuals that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - Request withdrawn
17-00152-FOIA	9/22/2017	Any email sent by former Chairman Timothy Massad from December 20, 2016, to December 22, 2016, that mentions or refers to CFPB Director Richard Cordray. (Date Range for Record Search: From 12/20/2016 To 12/22/2016)	Other Reasons - No records
17-00031-FPA	9/18/2017	Request for all records, files, both hard and electronic copies, all emails, notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to named individuals that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - Request withdrawn
17-00001-REF	9/25/2017	Referral from the U.S. Department of Justice regarding FOIA request of (b)(6) - Request Number: FOIA-2016-01799	Other Reasons - Not a proper FOIA request for some other reason
17-00153-FOIA	9/28/2017	All records, including letters, emails and other documents originated by the CFTC that describe how the agency determined the penalty in the matter of CFTC Docket No. 17-26	Denied in Full
17-00154-FOIA	9/28/2017	All documents and communications in connection with (b)(6) Investigation, and/or the (b)(6) Case.	Other Reasons - Request withdrawn
18-00001-FOIA	10/6/2017	Copies of all tweets deleted by the CFTC's Twitter feed from January 2011 to the present.	Other Reasons - No records
18-00002-FOIA	10/12/2017	Any and all records created or transmitted by or between White House staff, including but not limited to their email addresses ending in "who.eop.gov," including but not limited to Jared Kushner, Stephen (Steve) Bannon, Reince Priebus, John F. Kelly, Justin Clark, George Sifakis, Andrew Giuliani, Bill Stepien, Stephen Munisteri, Jennifer Korn, Sarah Makin, Ivanka Trump, Gary Cohn, Jeremy Katz, Ashley Hickey Marquis, and Dina Powell, and CFTC employees. (Date Range for Record Search: From 11/09/2016 To 10/17/2017)	Granted/Denied in Part
18-00003-FOIA	10/17/2017	Copies of all documents outlined in detail below: (1) Any direct correspondence with Louis ("Lou") Barletta or the staff or representatives of Louis Barletta, in his capacity as a United States Congressman, mayor, or as a private citizen (January 3, 2011 - present). (2) Any Freedom of Information Act requests filed regarding Louis ("Lou") Barletta or the staff or representatives of Louis Barletta, in his capacity as a United States Congressman, mayor, or as a private citizen and their responsive documents (January 3, 2011 - present). Direct correspondence should include letters, emails, and attachments. (Date Range for Record Search: From 01/03/2011 To 10/17/2017)	Other Reasons - No records
18-00004-FOIA	10/18/2017	(1) Any direct correspondence between CFTC and West Virginia attorney general Patrick Morrisey ("Patrick J. Morrisey"), or the staff of West Virginia attorney general Patrick Morrisey between, January 2013- present; (2) Any direct correspondence between CFTC and Patrick Morrisey as a private citizen between April 1990-present; (3) Any direct correspondence between CFTC and Patrick Morrisey in his capacity as a congressional staffer between 1999 and 2004; (4) Any direct correspondence between CFTC and Patrick Morrisey in his capacity as a partner at Sidley Austin LLP between 2004 and 2010; (5) Any direct correspondence between CFTC and Patrick Morrisey in his capacity as a partner at King & Spalding LLP between 2010 and 2013.	Other Reasons - No records
18-00005-FOIA	10/23/2017	A listing of all CFTC staff as of July 20, 2017. In other words, staff that received pay as of July 2017. For each staff person list the Name, Title, Pay Plan, Series, Grade, Base Salary, Total Salary, SCD Leave Date, CFTC Start Date, Date in Grade. Please list staff by Division and in alphabetical order.	Granted/Denied in Part
18-00006-FOIA	10/23/2017	A copy of each internal CFTC report regarding Bitcoin. A copy of each internal CFTC report regarding blockchain (also known as block chain). A copy of each internal CFTC report regarding cryptocurrencies (or cryptocurrency).	Granted/Denied in Part
18-00007-FOIA	10/25/2017	A copy of the FEVS (Federal Employee Viewpoint Survey) Agency Management Report for CFTC, for the year 2016. I also request a copy of the 2016 FEVS Trend Report for CFTC	Other Reasons - Public Records
18-00008-FOIA	10/27/2017	Information or records regarding CFTC letter 40.2 pertaining to a request for compliance with core principals sent from the CFTC to the Chicago Mercantile Exchange (CME). This request was sent in July 2016. I am also requesting the response from the CME pertaining to this 40.2 letter and any other attachments or correspondence associated with this request. The response was sent back in August 2016.	Granted/Denied in Part
18-00009-FOIA	10/31/2017	A copy of CFTC Docket 88-R252 (involving Garson).	Granted/Denied in Part
18-00010-FOIA	10/31/2017	Information or records regarding: 1. Any CFTC staff correspondence, internal memos, reports, and/or opinions that reflect the "opinion" and "recommendation" referenced in the Concurring Statement of former CFTC Commissioner Sharon Brown-Hruska, which was appended to the CFTC's July 15, 2003 approval of the Chicago Board of Trade's ("CBOT's") 17 C.F.R. § 40.5 rule amendment proposals (pertaining to the implementation of its Clearing Link service) that were submitted under separate covers to the CFTC between June 13 through June 26, 2003. 2. The "Memorandum to the [CFTC] by the Division of Clearing and Intermediary Oversight dated September 5, 2003" which recommended that the CFTC register CBOT as a DCO, and any attachments or correspondence associated with this request.	Granted in Full
18-00011-FOIA	11/9/2017	Please provide a copy of any filings or written requests by CME Group or the Chicago Board of Trade (CBOT), made prior to January 1, 2009, seeking approval by the U.S. Commodity Futures Trading Commission (CFTC) of CBOT Rules 523 (Acceptance of Bids and Offers) (currently designated as CBOT Rule 522 pursuant to the CME rule harmonization plan) and CBOT Rule 540 (Responsibility for Customer Orders) and any amendments thereto. Additionally, please provide a copy of any order or notice from the CFTC approving any such filing or request by CME Group or CBOT relating to CBOT Rules 523 and 540.	Other Reasons - No records
18-00012-FOIA	11/13/2017	A copy of each internal CFTC report regarding Bitcoin.	Granted/Denied in Part
18-00013-FOIA	11/15/2017	All documents, including but not limited to notes, emails or other communications, memoranda, written analysis, summaries, or calendar entries, regarding the following meetings: A meeting on August 26, 2010 regarding Swap Execution Facility Registration Requirements and Core Principle Rulemaking, Interpretation & Guidance; A meeting on October 15, 2010 regarding definitions required by the Dodd-Frank Act; A meeting on March 10, 2011 regarding governance and real-time reporting; A meeting on July 7, 2011 between Ananda Radhakrishnan and Richard Ribbentrop of USB AG; A meeting on March 27, 2012 regarding liquidity aggregation services and SEF registration; A meeting on March 29, 2012 regarding, among other things, impartial access to SEFs; Two meetings on June 8, 2012 (12 pm and 2 pm) regarding, among other things, swap dealer registration; A meeting on July 30, 2012 regarding SEF registration and aggregator platforms; A meeting on October 23, 2012 regarding clearing; A meeting on November 14, 2012 regarding SEFs; A meeting on December 5, 2012 regarding, among other things, SEF rules and SEF ownership limitations; and A meeting on January 15, 2013 regarding SEFs. (Date Range for Record Search: From 01/01/2010 To 12/31/2016)	Granted/Denied in Part
18-00014-FOIA	11/15/2017	All communications between the chairman's office and anyone with a White House email address (sent to or from emails ending @wh.eop.gov) For the following date range: January 20 2017 through November 14 2017 (Date Range for Record Search: From 01/20/2017 To 11/14/2017)	Other Reasons - Request withdrawn

18-00015-FOIA	11/16/2017	A chart or list of each CFTC division and office with name, title, grade, and supervisory status for each employee.	Granted in Full
18-00016-FOIA	11/29/2017	Edward Laurence Fishman; NFA #284102	Granted in Full
18-00017-FOIA	12/4/2017	Copies of the following CFTC Dockets: Docket 86-6 (involving Boston) dated around September 28, 1988 Docket 88-2 (involving SONNENBERG & SD) dated around May 17, 1988 Docket 78-1 (involving CARR) dated around January 22, 1988 Docket 83-R905 (involving Boring) dated around November 30, 1987 Docket R80-902-81-139 (involving CACCESE) dated around April 30, 1987 (Date Range for Record Search: From 04/20/1987 To 09/28/1988)	Granted/Denied in Part
18-00018-FOIA	12/4/2017	All information regarding the case CFTC v Spencer Montgomery. Charges were filed March 13, 2012.	Other Reasons - Request withdrawn
18-00019-FOIA	12/5/2017	All publicly-discloseable information held by the CFTC in relation to the following exemptive relief filings made to the NFA by non-US firms under CFTC Rule 30.10: Merrill Lynch Japan Securities Co Ltd, filed with NFA on April 28, 2017 and approved on May 15, 2017 Credit Suisse International, filed with NFA and approved on December 31, 2015 Societe Generale International Limited, filed with NFA on August 23, 2011 and approved on August 25, 2011 Deutsche Bank AG, filed with NFA on July 13, 2007 and approved on August 17, 2007 In particular, copies of the representations submitted by the non-US firm, correspondence and supporting material filed by the firm, and approval issued by NFA/CFTC staff.	Granted in Full
18-00020-FOIA	12/5/2017	All publicly-discloseable information held by the CFTC in relation to the following exemptive orders granted under CFTC Rule 30.10: Eurex Germany Order dated May 8, 2002, as described at 67 Fed. Reg. 30,785 Financial Services Authority Order dated October 10, 2003, as described at 68 Fed. Reg. 58,583 Tokyo Financial Exchange Order dated October 14, 2008, as described at 73 Fed. Reg. 60,625 Korea Exchange Order dated February 11, 2016, as described at 81 Fed. Reg. 7,204 In addition, all publicly-discloseable information held by the CFTC in relation to the following pending petition made with the CFTC under Rule 30.10: Bombay Stock Exchange petition dated February 26, 2016, as described at https://sirt.cftc.gov/sirt/sirt.aspx?Topic=ForeignPart30Exemptions For each of the preceding items, provide copies of the petition submitted by the applicant, correspondence and supporting material filed by the applicant, and recommendations made by Commission staff in connection with the	Other Reasons - Request withdrawn
18-00021-FOIA	12/5/2017	All publicly-discloseable information held by the CFTC in relation to the following exemptive order granted under CFTC Rule 30.10: (1) Hong Kong Securities and Futures Commission dated March 25, 2015, as described at 80 Fed. Reg. 15680. In addition, copies of the petition submitted by the applicant, correspondence and supporting material filed by the applicant, and recommendations/determinations made by Commission staff in connection with the petition.	Other Reasons - Request withdrawn
18-00022-FOIA	12/5/2017	All publicly-discloseable information held by the CFTC in relation to the following exemptive orders granted under CFTC Rule 30.10: (1) UK Securities and Investments Board dated May 9, 1989, as described at 54 Fed. Reg. 21599. (2) UK Association of Futures Brokers and Dealers dated May 19, 1989, as described at 54 Fed. Reg. 21604 (3) UK Securities Association dated May 19, 1989, as described at 54 Fed. Reg. 21609 (4) UK Investment Management Regulatory Organisation Limited dated May 19, 1989, as described at 54 Fed. Reg. 21614 (5) Letter from Michael Folger, Director of Conduct of Business Standards, FSA, to Jane Kang Thorpe, Director for the Division of Clearing and Intermediary Oversight, dated July 24, 2003 (6) Letter from John C. Lawton, Acting Director, Division of Trading and Markets, to Alan Whiting, Executive Director for Regulation and Compliance, LME, dated April 3, 2000. (7) Letter from Andrea Corcoran, Director, Division, to A.R.G. Frase, AFBD, dated June 19, 1990 (8) Letter from Andrea Corcoran, Director, Division of Trading and Markets, to the Hon. Christopher J. Sharples, Chairman, AFBD, dated October 10, 1989 For each of the preceding items, I would like copies of the petition submitted by the applicant, correspondence and supporting material filed by the applicant, and recommendations/determinations made by Commission staff in connection with the petition.	Granted in Full
18-00023-FOIA	12/5/2017	Any information regarding identifiable with (b)(6) (b)(6) was fired from Salomon Brothers for mispricing trades. (Date Range for Record Search: From 01/01/1996 To 01/31/1998)	Other Reasons - No records
18-00024-FOIA	12/7/2017	(1) Confirmation that the final orders and award determinations of the CFTC's Whistleblower Office that are identified on the website https://www.whistleblower.gov/orders/ constitute a full listing of all final orders and award determinations as of the date of this request. To the extent that any final orders and award determinations of the CFTC's Whistleblower Office are not identified on this website, we request that the Whistleblower Office update this website and/or produce copies of such documents in response to this FOIA request. (2) Copies of any and all documents related to (b)(6)	Denied in Full
18-00025-FOIA	12/8/2017	All orders, cover actions, awards, preliminary info as well as any relevant documents submitted concerning WB-APP 2016-06-14-01, related Enforcement Action, and NCA 2016-015, in connection with 16-WB-06 re Citibank, n.a (CFTC docket no. 16-16)	Granted/Denied in Part
18-00026-FOIA	12/11/2017	Visitor logs for Meetings with LabCFTC's office hours held for FinTech Innovators: LabCFTC Staff on the following dates: July 24-26, 2017 held in New York, September 19-20, 2017 held in New York, October 20, 2017 held in Chicago and December 1, 2017 held in New York	Other Reasons - Request withdrawn
18-00027-FOIA	12/29/2017	All available communications and documents from the Office of the Inspector General on investigations, probes or inquiries related to workplace sexual harassment and sexual assault claims at the Commodity Futures Trading Commission between November 2014 and November 2017. (Date Range for Record Search: From 11/01/2014 To 11/30/2017)	Other Reasons - No records
18-00028-FOIA	1/5/2018	Memorandum dated June 20, 2003, from the Division of Market Oversight ("DMO") (the "Futures Rules Memo") concerning the Chicago Board of Trade's ("CBOT's") June 16, 2003 request for the CFTC's determination of the materiality of amendments to specified rules of CBOT's futures contracts on various agricultural staples	Granted in Full
18-00029-FOIA	1/8/2018	CFTC's FOIA request log covering 2017, which includes a field showing the subject of each request and a field for the final disposition.	Granted/Denied in Part
18-00030-FOIA	1/8/2018	A list of the Office of Inspector General's investigations that were closed in 2017. I request that this list contain the subject matter of each investigation.	Other Reasons - No records
18-00031-FOIA	1/11/2018	Any audio, notes, transcripts, documents, evidence of what was discussed at an August 9, 1956 hearing concerning proposed regulations applicable to hedging anticipate requirements of processors and manufacturers as noticed in 21 Fed. Reg. 5771, 5780 (Aug. 2, 1956) available at, http://fdn.loc.gov/service/l/fedreg/fd021/fd021149/fd021149.pdf	Other Reasons - No records

18-00032-FOIA	1/16/2018	All Commodity Futures Trading Commission Congressional Correspondence Logs, including logs maintained by component, regional or program offices, for correspondence received between January 1, 2007, and January 16, 2018. To be clear, we are not requesting the correspondence texts. We are requesting all fields of information recorded in logs or log databases about each congressional correspondence such as the Correspondent Name, Correspondent Type or Organization, Addressee, Subject, Date Received, Date of Reply, Document Type, Processing Codes and Instructions, Reference or Control Numbers, Action, and Office to which the correspondence may have been assigned. (Date Range for Record Search: From 01/01/2007 To 01/16/2018)	Granted/Denied in Part
18-00033-FOIA	1/18/2018	I would like the following materials, which were gathered by the agency as laid out in the appendix to 'plaintiff's motion for a restraining order' filed 17th April 2015. (1) Account statements and documents produced to the Commission by MF Global for accounts held by Sarao for the period March 2008 to October 2011. (2) Account statements and documents produced to the Commission by Marex Spectron for accounts held by Sarao Futures for the period November 2011 to April 2012. (3) Account statements and documents produced to the Commission by Knight Execution and Clearing Services for accounts held by Sarao Futures for the period July and August 2012. (4) Account statements and documents produced to the Commission by RJ O'Brien Associates for accounts held by Sarao Futures for the periods August 2012 to June 2014, and by Sarao himself for the period October to December 2012.	Denied in Full
18-00034-FOIA	1/25/2018	Any direct correspondence with Martha McSally, or the staff or representatives of Martha McSally, in her capacity as a United States Congresswoman, and the CFTC Chairman, Commissioners, Office of the Executive Director, and Office of Legislative Affairs. (Date Range for Record Search: From 01/01/2015 To 01/25/2018)	Other Reasons - No records
18-00035-FOIA	1/30/2018	Any documents or emails within the CFTC's Office of Logistics and Operations mentioning "climate change" AND "risk assessment". Specifically, I am looking for the CFTC's "analysis of CFTC vulnerability to climate change" that started in July 2014 as required by Executive Order 13514 "Federal Leadership in Environmental Energy and Economic Performance."	Other Reasons - No records
18-00036-FOIA	2/1/2018	Copies of correspondence specifically those leading up to the issuance of a subpoena, including any subpoenas themselves, cease and desist letters and formal requests for information sent to the following entities: Bitfinex iFINEX Inc, BFXNA Inc, BFXWW Inc and Tether Ltd, Tether Holdings Ltd.	Denied in Full
18-00037-FOIA	2/1/2018	Access to and copies of any materials produced in response to Senator Jeff Merkley's letter dated August 5, 2016 concerning implementation of the "Volcker Rule." This should include, but not be limited to: (1) Communications sent by, sent to, or carbon copying ("CC") Commodity Futures Trading Commission (CFTC) staff about potential responses to, and how to proceed with, the request for details about the implementation of the Volcker Rule contained in the August 2016 letter. (2) Internal documents, reports, and/or data created or compiled to respond to the request for details about the implementation of the Volcker Rule contained in the August 2016 letter. (3) Communications with entities and individuals outside CFTC about potential responses to, and how to proceed with, the request for details about the implementation of the Volcker Rule contained in the August 2016 letter. (4) Documents, reports, and/or data provided to or requested by the CFTC from entities and/or individuals outside CFTC concerning the request for details about the implementation of the Volcker Rule contained in the August 2016 letter. (5) Any communications sent to Sen. Jeff Merkley or his staff responding to the request for details about the implementation of the Volcker Rule contained in the August 2016 letter. (6) Any communications received by CFTC staff from Sen. Jeff Merkley or his staff concerning the request for details about the implementation of the Volcker Rule contained in	Granted in Full
18-00038-FOIA	2/6/2018	I am requesting any and all documents and communication mentioning or pertaining to Bitfinex, Tether, or their principals: Jan Ludovicus van der Velde and Phil Potter. (Date Range for Record Search: From 09/01/2017 To 02/05/2018)	Denied in Full
18-00039-FOIA	2/7/2018	(1) All documents, including electronic correspondence, between September 1, 2017, and the date this request is processed, that contain the words Kraken AND Tether or Kraken AND Bitfinex. (2) All documents, including electronic correspondence, between September 1, 2017, and the date this request is processed, that contain the words Poloniex AND Tether or Poloniex AND Bitfinex. (3) All documents, including electronic correspondence, between September 1, 2017, and the date this request is processed, that contain the words Bittrex AND Tether and/or Bittrex AND Bitfinex. (4) All documents, including electronic correspondence, between September 1, 2017, and the date this request is processed, that contain the words Binance AND Tether and/or Binance AND Bitfinex. (5) All documents, including electronic correspondence, between September 1, 2017, and the date this request is processed, that contain the words OKEx AND Tether and/or OKEx AND Bitfinex. (6) All documents, including electronic correspondence, between September 1, 2017, and the date this request is processed, that contain the words Huobi AND Tether and/or Huobi AND Bitfinex. (Date Range	Denied in Full
18-00040-FOIA	2/9/2018	A record of all employee and contractor expenses that include payment to the Trump International Hotel Washington D.C. since September 1, 2016, as well as all expenditures made by the Commodity Futures Trading Commission to the Trump International Hotel Washington D.C. since September 1, 2016. The expense records should include but not be limited to: the date of purchase at the hotel, the total amount paid, the good/service description of each line item, and if the expense is due to an employee of a sub-agency incurring the charge, please note which sub-agency. In credit card transactions, expenditures made at the Trump International Hotel in Washington D.C. may be noted as payments to a business alias, so I am listing several aliases that I am aware of below. Any payment made to these business aliases should be included in the record we are seeking. • TRUMP INTL HOTEL DC REST • TRUMP INTL HOTEL • BLT PRIME - WASHINGTON • BENJAMIN BAR & LOUNGE - WASHINGTON • TRUMP INTL HOTEL - WASHINGTON • TRUMP OLD POST OFFICE - WASHINGTON (Date Range for Record Search: From 09/01/2016 To 02/08/2018)	Other Reasons - No records
18-00041-FOIA	2/9/2018	"The U.S. Commodity Futures Trading Commission sent subpoenas on Dec. 6 to virtual-currency venue Bitfinex and Tether." I am requesting a copy of these subpoenas of Tether, Inc and Bitfinex (iFinex), as well as a copy of any additional correspondence, records and information related to this case.	Denied in Full
18-00042-FOIA	2/12/2018	Copies of subpoenas issued to the following between December 1, 2017 and the date this request is processed: (1) BFXNA Inc.; (2) BFXWW Inc.; (3) Bitfinex; (4) Tether Limited; (5) The Kraken LLC; (6) The Bittrex Inc.; and (7) Poloniex LLC. (Date Range for Record Search: From 12/01/2017 To 02/09/2018)	Denied in Full
18-00043-FOIA	2/13/2018	A copy of the FOIA log from October 1, 2016 through September 30, 2017. (Date Range for Record Search: From 10/01/2016 To 09/30/2017)	Other Reasons - Fee-related reason
18-00044-FOIA	2/13/2018	A copy of the CFTC's latest annual report to Congress regarding CFTC's status.	Other Reasons - Fee-related reason
18-00045-FOIA	2/13/2018	A copy of the CFTC's latest request for budget to the White House.	Other Reasons - Fee-related reason
18-00046-FOIA	2/13/2018	A copy of the 2015, 2016, and 2017 report to the Attorney General regarding FOIA. (Date Range for Record Search: From 01/01/2015 To 12/31/2017)	Other Reasons - Fee-related reason
18-00047-FOIA	2/13/2018	The subpoena that was delivered to BitFinex and Tether on December 6.	Denied in Full

18-00048-FOIA	2/13/2018	The subpoena that was sent to bitfinex and tether on December 6.	Denied in Full
18-00049-FOIA	2/15/2018	Information on the reason for a disclosure related to Financial disclosures in the NFA 8 R of Spyros Nikolaos Papadakis (NFA ID: 0492735).	Granted in Full
18-00050-FOIA	2/14/2018	Information or records regarding historical market data relating to the frequency of margin calls across firm types for the E-min S&P 500 futures contract & the Regular S&P 500 futures contract, going back to 1982 or as early as possible.	Other Reasons - No records
18-00001-CONS	2/16/2018	Karl Frisch (Allied Progress) submitted to the FDIC a FOIA request for "access to and copies of any materials produced in response to Senator Jeff Merkley's August 5, 2016 letter (see attached) concerning implementation of the "Volcker Rule." The request stated that this should include, but not be limited to: [1] Communications sent by, sent to, or carbon copying ("CC") Federal Deposit Insurance Corporation (FDIC) staff about potential responses to, and how to proceed with, the request for details about the implementation of the Volcker Rule contained in the attached letter[;] [2] Internal documents, reports, and/or data created or compiled to respond to the request for details about the implementation of the Volcker Rule contained in the attached letter[;] [3] Communications with entities and individuals outside FDIC about potential responses to, and how to proceed with, the request for details about the implementation of the Volcker Rule contained in the attached letter[;] [4] Documents, reports, and/or data provided to or requested by the FDIC from entities and/or individuals outside FDIC concerning the request for details about the implementation of the Volcker Rule contained in the attached letter[;] [5] Any communications sent to Sen. Jeff Merkley or his staff responding to the request for details about the implementation of the Volcker Rule contained in the attached letter[;] and [6] Any communications received by FDIC staff from Sen. Jeff Merkley or his staff.	Granted in Full
18-00051-FOIA	2/20/2018	Copies of the original email(s) requesting no-action relief, which were sent by Victoria University of Wellington, and is responded to in "CFTC Letter No. 14-130" - http://www.cftc.gov/ido/groups/public/@idlettergeneral/documents/letter/14-130.pdf	Granted in Full
18-00052-FOIA	2/20/2018	Copies of records gathered and generated by the CFTC's investigation of trading in financial futures products prior to the events of September 11, 2001. The CFTC's investigation is referenced in the SEC's "Information Memorandum" of May 15, 2002 to the Commission from the Division of Enforcement regarding its Pre-September 11, 2001 Trading Review	Other Reasons - No records
18-00053-FOIA	2/21/2018	Information on the reasons for the positive answers to the three disclosures related to Regulatory disclosures in the NFA 8 R of Robin Rogers (NFA ID: 0357531)	Granted in Full
18-00054-FOIA	2/21/2018	Access to and copies of all emails exchanged between: (1) Current Division Directors and all former Commissioners (Sharon Bowen, Timothy Massad, Mark Wetjen, Scott O'Malia, Bart Chilton, Gary Gensler, Jill Sommers, Michael Dunn, Walter Lukken, Reuben Jeffery, Frederick Hatfield, and Sharon Brown-Hruska) from 1/20/17 to 2/21/18 (date of your request); (2) Chairman Giancarlo and all former Commissioners from 1/20/17 to 2/21/18; and (3) Commissioners Brian Quintenz and Rostin Behnam and all former Commissioners from 1/20/17 to 2/21/18. (Date Range for Record Search: From 01/20/2017 To 02/21/2018)	Other Reasons - Request withdrawn
18-00055-FOIA	2/22/2018	Any communications, between May 1 and Oct. 1 of 2017, sent to or from J. Christopher Giancarlo, Mike Gill and Richard Danker regarding the Financial Stability Oversight Council's procedures for designating or de-designating a systemically important financial institution, including but not limited to American International Group. In addition, any communications to or from Giancarlo, Gill and Danker, during that same time period, related to Jay Clayton's removal from CFTC's AIC role. (Date Range for Record Search: From 05/01/2017 To 10/01/2017)	Other Reasons - No records
18-00056-FOIA	2/23/2018	The subpoenas issued to iFinex inc. also known as Bitfinex and it's subsidiary companies, as well as subpoenas issued Tether Limited and its subsidiary companies. These subpoenas were likely issued around mid December of 2017. I am also looking for any documents that are able to be made public pertaining to the investigation relation to the subpoenas issued to Tether and Bitfinex	Denied in Full
18-00057-FOIA	2/23/2018	Copy of the Agency Reform Plan submitted to the Office of Management and Budget ("OMB") in approximately September 2017 in accordance with OMB Memorandum M-17-22 ("Comprehensive Plan for Reforming the Federal Government and Reducing the Federal Civilian Workforce").	Granted/Denied in Part
18-00058-FOIA	2/26/2018	Access to the Apache server log files (anonymized if necessary) that record and store user access statistics for the cftc.gov website.	Granted in Full
18-00059-FOIA	2/26/2018	Copies of the following CFTC Dockets: 1. Docket 83-R413 (involving Sandlin) dated around April 13, 1987 2. Docket 86-R184 (involving Marriott) dated around March 20-26, 1987 3. Docket 80-27 (involving John) dated around February 27, 1987 4. Docket 86-6 (involving Commodity) dated around January 16, 1987 5. Docket 86-4 (involving Comenzo) dated around November 4, 1986	Granted/Denied in Part
18-00060-FOIA	2/26/2018	All ROIs or closing memos for CLOSED investigations in 2016, 2017 and thru present day 2018 (either calendar or fiscal year is acceptable) for computer misuse cases in which "porn" or "pornographic" or "pornography" are referenced.	Other Reasons - No records
18-00061-FOIA	2/27/2018	A list of uncashed checks of \$15,000+ from 1/1/2013-10/1/2017 - vendors checks, and all else. Please include Payee, check date, check #, and check amount.	Other Reasons - No records
18-00062-FOIA	3/1/2018	Copies of the following information: The Organizational Charts for the Chief Information Officer of Commodity Futures Trading Commission- something that includes the names and titles/departments of the people who report to the Chief Information Officer of Commodity Futures Trading Commission. I would also ask that this Organizational Chart contain the direct reports of the people reporting to the Chief Information Officer. Also, contact information on the people listed in the above organizational charts to include: Business Address, Direct Business Telephone Number, and Business Email Address.	Granted in Full
18-00063-FOIA	3/1/2018	Copies of all subpoenas from the CFTC to CommunityOne Bank, N.A., in 2009 and 2010 concerning or relating to Keith Simmons and Black Diamond Capital Solutions LLC.	Granted in Full
18-00064-FOIA	2/27/2018	1. Documents associated with, or applicable to, Commodity Futures Contracts Trading of the U.S. District Courts judgements, converted to Securities, as overseen by your Commission. 2. Documents associated with, or applicable to, any/all U.S. District Courts, being members of the Chicago Board Options Exchange. 3. Documents associated with, or applicable to, any/all U.S. District Courts, showing authorization to trade, and or/sell, their judgements, converted to Securities/Bonds/Mortgage back Securities	Other Reasons - No records
18-00065-FOIA	3/1/2018	1. Documents associated with, or applicable to, Commodity Futures Contracts Trading of the U.S. District Courts judgements, converted to Securities, as overseen by your Commission. 2. Documents associated with, or applicable to, any/all U.S. District Courts, being members of the Chicago Board Options Exchange. 3. Documents associated with, or applicable to, any/all U.S. District Courts, showing authorization to trade, and or/sell, their judgements, converted to Securities/Bonds/Mortgage back Securities	Other Reasons - No records
18-00066-FOIA	3/1/2018	A copy of the schedule, meeting/appointment book for CFTC Chairman J. Christopher Giancarlo from Jan. 1, 2017 to Feb. 28, 2018. (Date Range for Record Search: From 01/01/2017 To 02/28/2018)	Granted/Denied in Part
18-00067-FOIA	3/9/2018	CFTC's FY 2018 Office of Data and Technology budget of \$74,760,499 (based on CFTC's FY 2018 continuing resolution of \$248,302,250) broken out by object class (similar to Table 3 in CFTC's FY 2019 President's Budget but limited to the Office of Data and Technology).	Granted in Full
18-00068-FOIA	3/14/2018	Any and all talking points and similar memorandums, emails, and transcripts providing advice or direction on how to handle the media, media interviews and statements. Please include in your responsive materials any documents, emails or communications with the following phrases in the title or subject line: Talking points, SMT, Statement, Press Strategy. (Date Range for Record Search: From 11/08/2016 To 03/13/2018)	Other Reasons - Request withdrawn

18-00069-FOIA	3/14/2018	A complete copy of all records in your possession regarding: (i) All documents in the possession or control of any component of the Commission concerning investigations involving or relating to Daniel T. Reineke, Daniel T. Reineke, PE, P.C. located at 6900 North Classen, Oklahoma City, OK 73116, and/or C.D. Operating Company, Inc. last located at 1833 S. Morgan RD Oklahoma City, OK 73128. (ii) All correspondence between the Commission and Daniel T. Reineke, Daniel T. Reineke, PE, P.C., and/or C.D. Operating Company, Inc. (iii) All documents received from Daniel T. Reineke, Daniel T. Reineke, PE, P.C., and/or C.D. Operating Company, Inc. pursuant to any subpoenas or requests for information including any subpoenas thereto. (iv) All documents concerning any fines or penalties paid by or assessed to Daniel T. Reineke, Daniel T. Reineke, PE, P.C., and/or	Other Reasons - No records
18-00070-FOIA	3/20/2018	All emails between CFTC division directors or commissioners with John Lothian from January 20, 2016 to the present.	Other Reasons - No records
18-00071-FOIA	3/26/2018	Copies of the following CFTC Dockets: 1. Docket 85-30 (Involving Shatner) dated around March 28, 1986 2. Docket R79-466-80-200 (Involving Arvinen) dated around March 26, 1986 3. Docket 85-8 (Involving Kuhlík) dated around March 21, 1986 4. Docket R 81-37-81-544 (Involving Sanchez) dated around January 15, 1986 5. Docket 83-470 (Involving Conti) dated around December 13, 1985	Granted/Denied in Part
18-00072-FOIA	3/22/2018	copy of each email TO or FROM or CC individuals in the CFTC Office of Legislative Affairs, during the time period March 19, 2018 - March 22, 2018, that contains EITHER the word Budget OR the word appropriation. 2) A copy of each email TO or FROM or CC individuals in the CFTC Office of Public Affairs, during the time period March 19, 2018 - March 22, 2018, that contains EITHER the word Budget OR the word appropriation (Date Range for Record Search: From 02/19/2018 To 02/22/2018)	Granted/Denied in Part
18-00073-FOIA	3/28/2018	Copies of the non-public registration documents on file with NFA for Grantham Mayo Van Otterloo & Co, LLC	Granted in Full
18-00074-FOIA	4/4/2018	1) Records sought, but not limited to, the following individuals, any aliases, companies and case file (b)(6) (b)(6) Specifically, any documentation, emails or notes of any and all information regarding the subject, but not limited to the following: The 2009 Grand Jury Subpoena. Notably, the Grand Jury Subpoena was served upon receiver Lewis B. Freeman in regards to (b)(6) by the U.S. Attorney's Office on June 08, 2009. Subsequent the resignation of Lewis B. Freeman, Freeman was ordered to transfer all books and records including the Grand Jury Subpoena to successive receiver Marsha Lyons. Freeman did. Finally, when the civil proceedings concluded in the case, (b)(6) The Honorable Judge Anton, ordered. Marsha Lyons to return ALL the documents in her possession to the CFTC. Lyons did according to admissions from attorneys Daniel	Other Reasons - Records not reasonably described
18-00075-FOIA	4/4/2018	Copies of the following: 1) Documents associated with, or applicable to, Commodity Futures Contracts Trading of the U.S. District Courts judgments, converted to Securities as overseen by your Commission; 2) Documents associated with, or applicable to, any/all U.S. District Courts, being members of the Chicago Board Options Exchange; 3) Documents associated with, or applicable to, any/all U.S. District Courts, showing authorization to trade, and if all, their judgments, converted to Securities/Bonds/Mortgage Back Securities	Other Reasons - Not an agency record
18-00076-FOIA	4/3/2018	I am seeking documents related to the CFTC's investigation of the cryptocurrency Tether and the cryptocurrency exchange Bitfinex/iFinex, and their parent companies. Specifically, I'm seeking: 1. Copies of the subpoenas sent to Tether and Bitfinex in December 2017, as reported by Bloomberg and The New York Times: https://www.bloomberg.com/news/articles/2018-01-30/crypto-exchange-bitfinex-tether-said-to-get-subpoenaed-by-cftc , https://www.nytimes.com/2018/01/31/technology/bitfinex-bitcoin-price.html 2. Copies of any records, including email correspondence, pertaining to the CFTC's investigation of Tether and Bitfinex	Denied in Full
18-00077-FOIA	4/11/2018	am seeking any and all non-classified documents from the years 2003 through 2015 pertaining to investigations and/or inquiries into any of the following businesses and individuals: Optionable, Inc. Platinum Management (NY), LLC ("Platinum Partners") Centurion Credit Management Level 3 Capital Funds Mark (Meir) Nordlicht Murray Huberfeld Jack Simony Ari Glass	Other Reasons - Request withdrawn
18-00078-FOIA	4/13/2018	For the period 1/1/04-Present: 1) Complaints received by the CFTC concerning the manipulation of VIX-related financial products, along with any supporting materials received in connection with those complaints; 2) Data reflecting: a. the identities of market makers for SPX Options, VIX futures, VIX options, or any other VIX-related exchange traded products and b) all long and short positions in VIX futures or VIX options held by 91) any CBOE Trading Permit Holder or Associated Person of a Trading Permit Holder or (2) any CBOE Futures Exchange Trading Privilege Holder or Authorized Trader in the 24 hours prior to the conclusion of VIX settlement dates for VIX futures and options and c) "Tick" data reflecting bids and offers for S&P 500 option series (SPX Options) from (1) any CBOE trading permit holder or associated person of a trading permit holder, or (2) any CBOE Futures Exchange Trading Privilege Holder or Authorized Trader during the Special Opening Quotation (SOQ) settlement procedure for VIX futures and VIX options; 3) Records and Information concerning any CFTC investigation into the potential or actual manipulation of the VIX, VIX futures, VIX options, VIX ETFs or	Granted/Denied in Part - No records
18-00079-FOIA	4/17/2018	Pursuant to the Freedom of Information Act ("FOIA"), 5 U.S.C. §552, et seq., I request access to and copies of all congressional correspondence logs regarding correspondence between any officials at the Commodity Futures Trading Commission and Representative Andy Barr (KY-06) between January 1, 2013 and February 13, 2018. In the event formal congressional correspondence logs are not maintained between the Commodity Futures Trading Commission and members of Congress, I request access to and copies of all records of or reflecting communications to or from any officials at the Commodity Futures Trading Commission and Representative Andy Barr (KY-06) between January 1, 2013 and February 13, 2018. (Date Range for	Other Reasons - No records
18-00080-FOIA	4/20/2018	In regard to (b)(6) copies of any and all Bonds and/or other Securities (including the CUSIP numbers assigned thereto, and regardless of whether or not said Bonds and Securities are registered or unregistered) that may have been issued, traded, and sold in my name and likeness concerning the above-referenced criminal case	Other Reasons - No records
18-00081-FOIA	4/24/2018	Listing of the firms that are registered as CCPs - Central Counter Parties	Granted in Full
18-00082-FOIA	5/3/2018	We are making a Freedom of Information Act request for a current list of all Commodity Futures Trading Commission employees, in electronic format, sent via email address to lfunk@fedemplben.org, and include the following fields in a "Comma separated format" (CSV) or Excel format: Employee Full Name Agency Name and Location Employee Work Email Address Job Title Salary Please give a cost estimate before processing this request.	Granted in Full
18-00083-FOIA	5/10/2018	I am interested in datseries concerning the WTI net-long position of futures traders. Here's an example from an article from worldoil.com: "Money managers decreased their WTI net-long position -- the difference between bets on a price increase and wagers on a drop -- by 4.3% to 446,023 futures and options during the week ended March 6, according to the U.S. Commodity Futures Trading Commission. Longs shrank 3.1%, while shorts surged 15%, by the most since early December." Could you provide me with an excel file containing data like this? Or could you show me where I should look? It would be a great help for my research.	Other Reasons - Public Records

18-00084-FOIA	5/14/2018	I make this request for records pursuant to the Freedom of Information Act (FOIA), 5 U.S.C. § 552 and Commodity Futures Trading Commission regulations. Specifically, I hereby request your office produce, within 20 business days 1) all correspondence, letters, emails, text messages, facsimiles, telephone messages, voicemail messages, and transcripts, notes, or minutes of any meetings, telephone conversations, discussions, and attachments to emails or other records regarding Christopher Giancarlo's, chairman of the Commodity Futures Trading Commission, visit to the Trump International Hotel Washington D.C. on or around March 5, 2018. I seek records of any kind, including paper records and electronic records.	Other Reasons - No records
18-00086-FOIA	5/15/2018	Under the freedom of Information Act, 5 USC Section 552, I am requesting information on records for Martin Fund Management. I am only interested in receiving CTA PR Form on the MARTIN FUND ONE for the years 2015 and 2016. (Date Range for Record Search: From 01/01/2015 To 12/31/2016)	Other Reasons - No records
18-00085-FOIA	5/10/2018	Information on the reason for a disclosure related to Regulatory disclosures in the NFA 8 R of Timothy Michael Higgins (NFA ID: 0502490).	Granted/Denied in Part
18-00087-FOIA	5/17/2018	Emails exchanged since January 3, 2017, between the CFTC director of legislative affairs and Grant Dubler (U.S. Representative Jacky Rosen's office) concerning "DE Shaw and Co." (Date Range for Record Search: From 01/17/2017 To 05/17/2018)	Other Reasons - No records
18-00088-FOIA	5/23/2018	copies of records related to the May 4, 2017 letter ("letter") addressed to Sen. Jeff Merkley, which was signed by J. Christopher Giancarlo, Acting Chairman of the Commodity Futures Trading Commission. Specifically, we request all records documenting that the letter was sent and delivered to Sen. Merkley's office by the CFTC. This should include, but not be limited to: • All emails between the CFTC and Sen. Merkley's office that referenced or attached the letter • Tracking information (if letter was sent by Certified Mail or similar service) • Any other records documenting that this letter was	Granted in Full
18-00089-FOIA	5/23/2018	seeking a listing of all registered Associated Persons with the NFA, including any publicly available contact information(including business and home addresses and phone numbers if available), as well as the firm that they are associated with, and any additional designations (branch manager, principal) that they hold. Additionally, I would like a listing of all branch offices, including contact information, designated branch manager, and the firm they are associated with. Finally, I would like a listing of all Introducing Brokers, including contact information.	Other Reasons - Public Records
18-00090-FOIA	5/24/2018	Resumes and position descriptions for Timothy G. Massad; Sayee Srinivasan; Vontrece Wilson; Shonneice Jones; Cory Claussen; Steven W. Adamske; Erica Elliott Richardson; Dawn DeBerry Stump; Christopher Giancarlo; Brian D. Quintenz; Rostin Behnam; John Shosky; Rich Danker; James McDonald; Bruce Turkman; Andrew Busch; N. Charles Thornton.	Granted/Denied in Part
18-00091-FOIA	5/29/2018	A copy of every Form WB-APP whistleblower claim submitted to the CFTC whistleblower program(with identifying information redacted); All emails and other written communications since January 1 2017 to date, sent to or from the CFTC Whistleblower Office (WBO) to whistleblower claimants or their representatives regarding submitted whistleblower claims; The total \$ value of sanctions (penalties and disgorgement and interest) collected for all covered actions listed in Notices of Covered Actions on the WBO website to date; The total \$ value of contingent claims accrued to the Customer Protection Fund since 10/1/17; All emails and memoranda from the CFTC WBO to other CFTC staff that reference the amount of time it takes or is taking to process whistleblower claims generally and/or a specific whistleblower complaint, including any that mention delays or time extensions.	Granted/Denied in Part
18-00092-FOIA	5/31/2018	I am requesting all emails to and from CFTC chief of staff Michael Gill containing the address "@who.eop.gov". I am requesting these emails between April 1, 2018 and April 30, 2018, inclusive. (Date Range for Record Search: From 04/01/2018 To 04/30/2018)	Granted/Denied in Part
18-00093-FOIA	6/6/2018	1) Transcripts of all depositions of any individuals or entities associated with SS&C Technologies, Inc or First Republic Bank or HSBC Bank; 2) Copies of all documents or information provided or produced by SS&C, FRB or HSBC; 3) Copies of all correspondence SS&C, FRB or HSBC.	Other Reasons - Request withdrawn
18-00094-FOIA	6/7/2018	Copies of records, electronic or otherwise, of the following: all tips and whistleblower submissions submitted to the CFTC's Whistleblower office, as outlined via these methods: https://www.whistleblower.gov/ . Include all tips received by the CFTC, dated January 1, 2017 through December 31, 2017.	Denied in Full
18-00095-FOIA	6/5/2018	Any documents, files or materials related to the "new virtual currency surveillance tools" recommended by the LabCFTC to the CFTC's Enforcement division. Specifically, referring to this reference from CFTC Chairman Christopher Giancarlo June 5, 2018 testimony to the Senate Appropriation Committee Subcommittee on financial services and general government. "In fact, through its engagement with--and study of--innovative technologies. Our Enforcement team has been able to avail itself of this new technology and is now able to enhance certain surveillance and enforcement activities."	Granted/Denied in Part
18-00096-FOIA	6/8/2018	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: "liberals", "kushner", "Giuliani", "Mastroianni", "Elliott Broidy", "Mark Siffin", "EB-5", "George Nader", "Erik Prince", "alias", "FOIA", "Israel" or "whistleblower." Records that are classified as newsletters, junk or spam, may be excluded from the search.	Granted/Denied in Part
18-00097-FOIA	6/13/2018	Copies of any and all records found of any and all bonds and/or securities, either registered or unregistered, that may have been issued, traded an/or sold with respect to the following case: In re:(b)(6)	Other Reasons - No records

18-00098-FOIA	6/6/2018	[1] True and Correct copy of any and all records on file with your Office/Department/Agency, from (b)(6) through and to present, bearing my name and /or that of any and all variations and/or derivatives thereof, and/or bearing my bonafide signature, which can be relied upon to demonstrate to operate and/or confer upon either the Commonwealth of Pennsylvania and/or the United States any contractual, controlling, insurable, lawful, legal, pecuniary, regulatory and/or any other interest in myself and/or in my property; and/or which can be relied upon to demonstrate that I myself am property to the benefit of any County, State, etc., and/or otherwise; [2] True and Correct copy of any and all records on file with your Office/Department/Agency, from (b)(6) through and to present, bearing my name and /or that of any and all variations and/or derivatives thereof, and/or bearing my bonafide signature, which can be relied upon to demonstrate that I myself am a statutory "person" and/or juristic "person" as defined in either Pennsylvania's and/or the United States' various Acts, Laws, Statutes and/or Codes; and/or which can be relied upon to demonstrate that I myself am a statutory "person" and/or juristic "person" subject to said Acts, Laws, Statutes, and/or Codes; and/or which can be relied upon to demonstrate that I myself have at any time knowingly, willingly, intentionally and/or voluntarily agreed to act and/or operate in the capacity of a statutory "person" and/or juristic "person"; [3] True and Correct copy of any and all records on file with your Office/Department/Agency, from (b)(6) (b)(6) through and to present, bearing my name and /or that of any and all variations and/or derivatives thereof, and/or bearing my bonafide signature, which can be relied upon to demonstrate that I myself am a "resident", "citizen" and/or "subject" of either the Commonwealth of Pennsylvania and/or of the United States; and/or which can be relied upon to demonstrate that I myself have at any time knowingly, willingly, intentionally and/or voluntarily agreed to act and/or operate in the capacity of a "resident", "citizen" and/or "subject" thereof; [4] True and Correct copy of any and all records on file with your Office/Department/Agency, from (b)(6) through and to present, bearing my name and /or that of any and all variations and/or derivatives thereof, and/or bearing my bonafide signature, which can be relied upon to demonstrate that I myself am subject to the various jurisdictions and venues of each of the following; and/or which can be relied upon to demonstrate that I myself have at any time knowingly, willingly, intentionally and/or voluntarily agreed to be subject to the various jurisdictions and venues of each of the following: [a] Pennsylvania State Government [b] Territorial Pennsylvania State Government [c] Municipal Pennsylvania State Government [d] United States National Government [e] Territorial United States Government [f] Municipal United States Government [5] True and Correct copy of any and all records on file with your Office/Department/Agency, from (b)(6) through and to present, bearing my name and /or that of any and all variations and/or derivatives thereof, and/or bearing my bonafide signature, which can be relied upon to demonstrate that I myself am a "refugee" under International law and am	Other Reasons - Not an agency record
18-00099-FOIA	6/19/2018	Copies of any and all documents -- including, but not limited to, correspondence, filings, financial disclosures, investigation memoranda, reports, studies, surveys, corporate foundational documents, applications, and registrations -- which are in the CFTC's possession, custody, or control that relate to, refer to, or concern Payward, Inc. d/b/a Kraken. The relevant time period runs from January 1, 2016 to the present date. (Date Range for Record Search: From 01/01/2016 To 06/19/2018)	Granted/Denied in Part
18-00100-FOIA	6/21/2018	Copies of (1) The CFTC's complete record of its investigation into Case No. 16-cv-6551, excluding the approximately 37,600 pages of documents that FXCM produced to the CFTC. This request is limited to the issues contained in Count III of the complaint, related to potential violations of Regulation 5.16.; (2) All documents and correspondence related to the Flash Crash's effect on FXCM; (3) All documents and correspondence related to any request by FXCM to the CFTC for additional time to raise money so that FXCM could come into compliance with its capital requirements, including but not limited to requests for additional time under CFTC Regulation 5.7. The relevant time period for this request is January 15-16, 2015; (4) All documents and correspondence related to FXCM's zero debit policy, including FXCM's marketing materials and client agreements which reference the zero debit policy. The relevant time period for this request is January 1, 2009 through December 31, 2017; (5) Copies of all initial complaints and transcripts of all depositions or interviews taken in connection with the following CFTC Enforcement Actions, in which FXCM was named as a party: a. CFTC Docket No. 11 18 b. CFTC Docket No. 17-09 c. CFTC Docket No. 15-28 d. CFTC Docket No. 12-01; (6) All documents and correspondence between the CFTC and FXCM related to Regulation 5.16, including but not limited to documents related to the adoption of Regulation 5.16. The relevant time frame for this request is January 1, 2009 through December 31, 2017; (7) All documents and correspondence related to any other investigations by the CFTC of FXCM, not including CFTC reparations cases. The relevant time period for this request is January 1, 2009 through December 31, 2017; (8) All documents and correspondence between the CFTC and FXCM related to any proposal by government regulators to lower leverage ratios for retail forex investors. The relevant time period for this request is January 1, 2009 through December 31, 2016.	Other Reasons - Request withdrawn
18-00101-FOIA	6/12/2018	Information on the reason for the positive answer to part E of the Regulatory Disclosure section in the NFA registration form of AQR Capital Management LLC (NEA ID: 02857011) dated 1 May 2017.	Granted in Full
18-00102-FOIA	6/22/2018	All documents and correspondence related to the CFTC's investigation into other companies' violation, or potential violation, of CFTC Regulation 5.16. If any CFTC enforcement actions were brought for violations of Regulation 5.16, please produce all initial complaints, final orders, and copies of transcripts or interviews taken in connection with those actions. The relevant time period of this request is January 1, 2010 through January 31, 2017.	Other Reasons - Request withdrawn
18-00103-FOIA	6/25/2018	Copy of any and all documents -- including, but not limited to, correspondence, filings, financial disclosures, investigation memoranda, reports, studies, surveys, corporate foundational documents, applications, and registrations -- which are in the CFTC's possession, custody, or control that relate to, refer to, or concern Coinbase. On June 18, 2019, in a telephone call with Shannon Kelley and subsequent email communications, Mr. Silver clarified that he was seeking applications and investigations related to leveraged margin and sales pertaining to Coinbase between 2012 and 2016.	Granted/Denied in Part
18-00104-FOIA	6/26/2018	Copies of: CFTC Docket No. 82-R-534 December 12, 1983 JAMES NELSON v. CHILCOTT COMMODITIES CORPORATION, ORDER GRANTING INTERIM PRELIMINARY REVIEW	Granted in Full
18-00105-FOIA	6/26/2018	Requesting a copy of the following documents be provided: (1) All Compliance manuals or written supervisory procedures submitted to you by market participants in the past year. (2) All Policy & Procedure documents submitted to you by market participants in the last year.	Other Reasons - Public Records
18-00106-FOIA	6/29/2018	Copy of Calvin Lee Word's offer of settlement in CFTC Docket 86-6 (dated approximately September 1989) 2. CFTC press release # 3188-89 regarding settlement with Calvin Lee Word (November 28, 1989).	Granted in Full

18-00107-FOIA	7/3/2018	The scandal regarding Forex was based on chat transcriptions from a Bloomberg Chat Room. These chat transcriptions were used on the class action 1:13-cv-07789 in NY Southern District, which resulted in this settlement: http://www.fxantitrustsettlement.com/ The FCA (UK) has also fined five banks: https://www.fca.org.uk/news/press-releases/fca-fines-five-banks-%C2%A311-billion-fx-failings-and-announces-industry-wide Quite a few samples were uploaded on CFTC's (USA) own website and made available to the public. For instance: https://www.cftc.gov/sites/default/files/ids/groups/public/@newsroom/documents/file/hsbcmisconduct111114.pdf According to some news sources, the guardian and others, these chat transcriptions have been made public: https://www.theguardian.com/business/2014/nov/12/fca-transcripts-traders-forex-traders-chat-rooms-foreign-exchange Would I be able to receive/access these chat transcriptions in full? In special, the chat transcriptions between a trader from JPMorgan and a trader from Société Générale, on the 30th of June, 2010, between 10:58 and 11:04.	Denied in Full
18-00108-FOIA	7/9/2018	Any written agreement between the Commodity Futures Trading Commission and Chicago Mercantile Exchange Inc. requiring the sharing of information related to the cypto spot exchanges used to calculate the BRR index referenced in the CME's self-certification for "Initial Listing of the Bitcoin Futures Contract" on Dec. 1, 2017. The info-sharing agreements would be in to CME's notice, Re: CFTC Regulation 40.2(a) Certification. Notification Regarding the Initial Listing of the Bitcoin Futures Contract. CME Submission No. 17-417. Exchanges/trading platforms that provide pricing data, including	Other Reasons - No records
18-00109-FOIA	7/9/2018	any communications between CFTC employees regarding the CFTC's regulatory jurisdiction over single-name and index credit default swaps contracts. More specifically, we are seeking communications between November 10, 2017 and June 15, 2018 that involve the CFTC's decision to respond to GSO Capital Partners' purchase of Hovnanian Enterprises credit default swaps contracts, and how the agency took the lead in responding to the trade instead	Other Reasons - Request withdrawn
18-00110-FOIA	7/10/2018	Any and all investigative records in regard to George D. Hudgin. Specifically, the conviction for his participation in the 3737 Financial L.P. commodity pool, also known as Hudgins Group and Hudg-Investments. The offender was sentenced in 2009 by the U.S. District Court for the Eastern District of Texas. I would like to request the investigative reports leading to the original indictment. If a pre-sentence investigation or report exists I would also like a copy of that. Also, if available, a record of how much money was recovered and how much was not recovered and if any is unaccounted for would be	Granted/Denied in Part
18-00002-CONS	7/11/2018	Copies of any materials produced in response to Senator Jeff Merkley's August 5, 2016 letter concerning the implementation of the "Volcker Rule." Communications sent by, sent to, or carbon copying ("CC") Office of the Comptroller of the Currency (OCC) staff about potential responses to, and how to proceed with, the request for details about the implementation of the Volcker Rule contained in the attached letter. Internal documents, reports, and/or data created or compiled to respond to the request for details about the implementation of the Volcker Rule contained in the attached letter. Communications with entities and individuals outside OCC about potential responses to, and how to proceed with, the request for details about the implementation of the Volcker Rule contained in the attached letter. 11 Documents, reports, and/or data provided to or requested by the OCC from entities and/or individuals outside OCC concerning the request for details about the implementation of the Volcker Rule contained in the attached letter. Any communications sent to Sen. Jeff Merkley or his staff responding to the request for details about the implementation of the Volcker Rule contained in the attached letter. Any communications received by OCC staff from Sen. Jeff Merkley or his staff concerning the request for details about the implementation of the Volcker Rule contained in the attached letter.	Granted/Denied in Part
18-00111-FOIA	7/13/2018	requesting a written transcript of the January 31, 2018 meeting of the CFTC's Market Risk Advisory Committee. The CFTC's website currently provides the written testimony of the Commissioners and a link to the meeting video but there is no written transcript of the meeting or event the posted testimony of the other meeting participants who were reading from prepared remarks	Other Reasons - Public Records
18-00112-FOIA	7/17/2018	Request For Assistance Concerning Possible/SUSPECTED BOND & SECURITIES FRAUD FORMAL REQUEST PURSUANT TO THE FREEDOM OF INFORMATION ACT (5 U.S.C. §552) fully ask if you could conduct an investigation and search of all relevant bond and securities data -sources known to see if my suspicions and beliefs are correct. If you can and are willing to assist me in this time sensitive matter and you are able to confirm the existence of said bonds and securities, I kindly ask that you provide me with the CUSIP Numbers assigned thereto; and, if known or found, the name and address of the current holder having possession, custody or control of said bonds and securities. If you can and are willing to provide me with the herein requested assistance, I am providing you with my date of birth and social security number in case they are needed to conduct your investigation/ search. Should you require any additional information in form or ion from me, please do not hesitate to contact me at the above listed address	Other Reasons - Not an agency record
18-00113-FOIA	7/18/2018	Request for copies of the non-public registration documents on file with NFA for Zack Hampton Bacon III, NFA # 98046	Granted/Denied in Part
18-00114-FOIA	7/24/2018	Allied Progress requests access to and copies of certain records related to Kirsten Sutton Mork, who is currently Chief of Staff at the Consumer Financial Protection Bureau (CFPB). Specifically, we request all digital correspondence (email) sent by, sent to, or carbon copying ("CC") any employee within the CFTC's Office of Legislative Affairs that was sent by, sent to, or CC'ed Ms. Sutton Mork during either of the following date ranges: • January 1, 2007 - September 30, 2007 • June 1, 2008 - February 1, 2018 Ms. Sutton Mork was a congressional staffer during these time periods. For your reference, she has held the following positions: • From January - September 2007, Sutton Mork worked as a Legislative Assistant to Rep. Peter Roskam (R-IL). • From June 2008 - May 2009, Sutton Mork worked as a Legislative Assistant to Rep. Tom Price (R-GA). • From May 2009 - January 2013, Sutton Mork worked as Legislative Director and Financial Services Policy Adviser for Rep. Jeb Hensarling (R-TX). • From January 2012 - February 2018, Sutton Mork worked for the House Financial Services Committee as a Professional Staff Member, Deputy Staff Director, and Staff Director. Ms. Sutton Mork is known to have used the email address kirsten.mork@mail.house.gov ; however, searches should not be limited to this address. She has gone by "Kirsten Sutton," "Kirsten Mork," and "Kirsten Sutton Mork" - we ask that your searches include all variations of this name. If possible, I would prefer to receive this information electronically via e-mail at karl.frisch@alliedprogress.org . If you have questions or need additional information, please feel free to call me at (202) 644-8526. (Date Range for Record Search: From 01/01/2007 To 02/01/2018)	Granted/Denied in Part

18-00115-FOIA	8/1/2018	1. All written communications between the CFTC and Interactive Brokers, LLC ("IB") relating to (A) Kevin J. Steele, (B) Steele's IB trading account, and/or (C) the subject matter of In re Interactive Brokers, LLC, CFTC Docket No. 07-07; 2. All information and materials provided to the CFTC by IB relating to (A) Kevin J. Steele, (B) Steele's IB trading account, and/or (C) the subject matter of In re Interactive Brokers, LLC, CFTC Docket No. 07-07 (except IB compliance manuals, which are not requested); 3 All affidavits, sworn testimony, or unsworn statements provided to the CFTC by IB officers, agents, or employees relating to (A) Kevin J. Steele, (B) Steele's IB trading account, and/or (C) the subject matter of In re Interactive Brokers, LLC, CFTC Docket No. 07-07; (4) All requests for confidential treatment made under 17 C.F.R. §145.9 IB relating to the written communications, information, materials, affidavits, sworn testimony, and/or unsworn statements described in paragraphs 1-3 above; 5. All documents in the CFTC file for and/or relating to In re Interactive Brokers, LLC, CFTC Docket No. 07-07; (6) All written communications between the CFTC and Interactive Brokers, LLC ("IB") relating to the subject matter of In re Interactive Brokers, LLC, CFTC Docket No. 12-27; (7) All information and materials provided to the CFTC by IB relating to the subject matter of In re Interactive Brokers, LLC, CFTC Docket No. 12-27(except IB compliance manuals, which are not requested); (8) All affidavits, sworn testimony, or unsworn statements provided to the CFTC by IB officers, agents, or employees relating to the subject matter of In re Interactive Brokers, LLC, CFTC Docket No. 12-27; 9. All requests for confidential treatment made under 17 C.F.R. § 145.9 by IB relating to the written communications, information, materials, affidavits, sworn testimony, and/or unsworn statements described in paragraphs 5-7 above; 10. All documents in the CFTC file for and/or relating to In re Interactive Brokers, LLC, CFTC Docket No. 12-27.	Granted/Denied in Part
18-00116-FOIA	8/1/2018	Request for Disclosure document dated January 1, 2018 on file with NFA for Intex, Inc. NFA # 397840	Granted/Denied in Part
18-00118-FOIA	8/1/2018	Copies of non-public registration documents on file with NFA for Andrew David Nelson, NFA #507745	Granted/Denied in Part
18-00001-AP	7/12/2018	seeking a listing of all registered Associated Persons with the NFA, including any publicly available contact information(including business and home addresses and phone numbers if available), as well as the firm that they are associated with, and any additional designations (branch manager, principal) that they hold. Additionally, I would like a listing of all branch offices, including contact information, designated branch manager, and the firm they are associated with. Finally, I would like a listing of all Introducing Brokers, including contact information.	Completely Affirmed
18-00117-FOIA	8/1/2018	Copies of the Form 8-R applications and related information on file with NFA for Stephen Barnett Burke ("Burke") , James Dimon ("Dimon"), Timothy Patrick Flynn ("Flynn"), Michael Allen Neal ("Neal"), Daniel Eduardo Pinto ("Pinto") and Lee Roy Raymond ("Raymond") that are responsive to the requests. JPMorgan Chase Bank National Association ("JPM") has requested Confidential Treatment on the Form 8-R applications filed by JPM on behalf of their Principals in conjunction with its Swap Dealer provisional registration.	Denied in Full
18-00119-FOIA	8/1/2018	Requests received by NFA on July 23, 2018 and July 24, 2018, for copy of the Form 8-R application and related information for James Dimon ("Dimon"). Please note that JPMorgan Chase Bank National Association ("JPM") has requested confidential treatment on the Form 8-Rs filed by JPM on behalf of their Principals. Requests for confidential documents are forwarded to the Commodity Futures Trading Commission ("CFTC") for a further response.	Denied in Full
18-00120-FOIA	8/1/2018	Copies of the Form 8-R applications and related information for Linda Beth Bammann ("Bammann"), James Michael Collins ("Collins"), Todd Anthony Combs ("Combs"), Laban Phelps Jackson ("Jackson"), Marianne Lake ("Lake") and Douglas Petno ("Petno"). Please note that JPMorgan Chase Bank National Association ("JPMC"), JP Morgan Securities LLC ("JPMS") and JP Morgan Securities plc ("JPM") have requested confidential treatment with respect to the Form 8-R applications and related information filed by JPMC, JPMS and JPM on behalf of their Principals. Trading Commission ("CFTC") for a further response.	Granted/Denied in Part
18-00121-FOIA	8/13/2018	All emails to and from Michael Gill, chief of staff to the Chairman, that include "@who.eop.gov." I am requesting these documents from July 1, 2018 through July 31, 2018, inclusive.	Granted/Denied in Part
18-00122-FOIA	8/22/2018	Requesting copies of the following materials: • All data and documents related to investigations the CFTC has carried out in connection with the CFTC's July 12, 2018 Order Instituting Proceedings Pursuant to Sections 6(c) and 6(d) of the Commodity Exchange Act, Making Findings, and Imposing Remedial Sanctions, In the Matter of Lansing Trade Group, LLC, CFTC Docket No. 18-16- regarding Lansing Trade Group, LLC (including parent companies, subsidiaries, and affiliates) or its employees for the manipulation of the price of wheat futures and options contracts traded on the CBOT.	Denied in Full
18-00123-FOIA	8/29/2018	Please provide the National Treasury Employees Union (NTEU) with the following information regarding the Fair Labor Standards Act (FLSA) exemption status of NTEU-represented bargaining unit positions within the agency or agency division: 1. Position title and grades of career ladder of that position within the bargaining unit (e.g., series 343 program analyst, grades 9-13); 2. FLSA exemption status for each position and grade identified in response to Request No. 1; and 3. The number of bargaining unit employees at each grade of each position.	Granted in Full
18-00124-FOIA	9/5/2018	Requesting information on the numeric identifiers used by the CFTC in the Commitment of Traders reports. Provide the full list of numeric IDs used in the reports and the descriptions associated with these (example descriptions would include the market names, contract names or market-categories, etc).	Granted in Full
18-00125-FOIA	8/13/2018	Mortgage dispute	Other Reasons - Not an agency record
18-00126-FOIA	9/11/2018	Information found by the CFTC through whistleblower request. Also, any information concerning retaliation against me for blowing the whistle and any information you have regarding the subsequent investigation of (b)(6)	Other Reasons - Fee-related reason
18-00127-FOIA	9/13/2018	Invitation lists for the two Chief FOIA Officers Council Meetings, in addition to attendee lists for these meetings.	Granted in Full
18-00128-FOIA	8/29/2018	Non-public records for (b)(6)	Granted/Denied in Part
18-00129-FOIA	8/29/2018	Non-public documents for (b)(6)	Granted/Denied in Part
18-00130-FOIA	9/20/2018	Copies of FOIA requests submitted in FY 2018 that seek records pertaining to U.S. Senator Elizabeth Warren	Other Reasons - No records
18-00131-FOIA	9/20/2018	Background documents in re Deutsche Bank AG, etc. CFTC Docket No. 18-06.	Denied in Full
18-00132-FOIA	9/26/2018	Information held by the CFTC in relation to the manipulation of the ISDAfix swaps benchmark by ICAP PL	Other Reasons - No records
18-00133-FOIA	9/27/2018	Requesting all email correspondences between Commissioner Dawn DeBerry Stump, and any person associated with any of the following groups: Futures Industry Association Stump Strategic LLC NYSE Group, Inc. between January 20, 2017 to the date when this search is conducted. (Date Range for Record Search: From 01/20/2017 To 09/27/2018)	Granted/Denied in Part
19-00001-FOIA	10/3/2018	Records related to Coin Center, focused on cryptocurrencies	Other Reasons - Fee-related reason

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 6(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)	Granted/Denied in Part
19-00003-FOIA	10/11/2018	Research information on gemstones, gold and commodities.	Granted in Full
19-00004-FOIA	10/12/2018	Registration documents related to Brandon Patrick Hagan for the period July 1, 2002 to the present.	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.	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)	Granted/Denied in Part
19-00007-FOIA	10/24/2018	Non-public information regarding Amaury Guilherme Bier	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	Granted in Full
19-00009-FOIA	10/30/2018	Requesting the contract market applications submitted by the Chicago Board of Trade to the Commodity 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)	Granted in Full
19-00010-FOIA	11/1/2018	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)	Other Reasons - Fee-related reason
19-00011-FOIA	11/1/2018	One full copy of the Commodity Exchange Act and information and/or template of a private placement memorandum.	Other Reasons - No records
19-00012-FOIA	11/1/2018	All data and documents related to investigation in connection with October 11, 2018 Order Instituting Proceedings regarding Kamaldeep Gandhi, CFTC Docket No. 19-01	Denied in Full
19-00013-FOIA	11/1/2018	Referral from FBI. All information in regard to (b)(6) (h)(6)	Granted/Denied in Part
19-00014-FOIA	11/8/2018	Records regarding Imaging3.	Other Reasons - No records
19-00015-FOIA	11/8/2018	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.	Other Reasons - No records
19-00016-FOIA	11/6/2018	Copies of any and all documents associated with CUSIP Number 315807636.	Other Reasons - No records
19-00017-FOIA	11/1/2018	All emails, memoranda and other written records involving CFTC staff, related to the preparation, revision or publication of Notional FAQs, as well as records of telephone calls made from law firms (including Sullivan & Cromwell) to CFTC staff discussing revisions of Notional FAQs within 24 hours of them being published.	Granted/Denied in Part
19-00018-FOIA	9/26/2018	Information on Harvest Strategy Group, et al.	Other Reasons - Fee-related reason
19-00001-AP	11/6/2018	Appeal of FOIA No. 18-00078-FOIA	Completely Affirmed
19-00019-FOIA	11/1/2018	Records relating to hosting or removing URLs on the CFTC website that linked to articles written by Silla Bush, from January 2013 to January 2018, including but not limited to all internal communications, memoranda, and other records related to hosting or removing such URLs.	Other Reasons - No records
19-00020-FOIA	12/6/2018	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.	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.	Other Reasons - No records
19-00022-FOIA	2/4/2019	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.	Other Reasons - Fee-related reason
19-00023-FOIA	2/6/2019	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.	Granted/Denied in Part
19-00024-FOIA	1/28/2019	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.	Other Reasons - Fee-related reason
19-00025-FOIA	1/28/2019	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.	Other Reasons - Fee-related reason
19-00026-FOIA	1/20/2019	Any and all information (data, reports, logs and investigations) regarding Mark Downey's Tort Form 95 complaint submissions, filed with the General Counsel.	Other Reasons - Fee-related reason
19-00027-FOIA	1/14/2019	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.	Granted in Full
19-00028-FOIA	1/12/2019	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.	Granted in Full

19-00029-FOIA	2/5/2019	Request for any and all records in the possession of the Commission, with regard to: a)(b)(6) SSN: ###-##-####; 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	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.	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 Commodity Markets Shawn Mankad - CFTC Contract CFCE11CO0173	Granted in Full
19-00032-FOIA	2/8/2019	Copy of the report and presentation from the Organizational Assessment conducted for CFTC by Booz Allen Hamilton under contract CFFM10BP0096T0003.	Granted in Full
19-00033-FOIA	2/13/2019	Complete file for:(b)(6)	Granted in Full
19-00034-FOIA	2/12/2019	Copies of the semiannual 1-FRs filed by Sterling Commodities Corp, from 1/1/2010 to present.	Other Reasons - Request withdrawn
19-00035-FOIA	2/15/2019	Does a broker have the right to cancel a retail customer's executed orders, if the orders are crossed market orders in the USA?	Other Reasons - Not a proper FOIA request for some other reason
19-00036-FOIA	2/19/2019	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.	Granted in Full
19-00037-FOIA	2/22/2019	Any complaints or whistleblower awards issued, regarding Michael J. Coscia and Panther Energy Trading, LLC, CFTC Docket No. 13-26. Filer was a trader, who conducted trades from August through October, 2011.	Granted/Denied in Part - No records
19-00038-FOIA	3/1/2019	Requesting access to and copies of Commissioner travel records and budgets for fiscal year 2018, along with any travel requests that were denied due to insufficient funds.	Granted in Full
19-00039-FOIA	3/5/2019	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 "sburdown". (Date Range for Record Search: From 12/16/2018 To 3/5/2019)	Other Reasons - Records not reasonably described
19-00040-FOIA	2/23/2019	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.	Granted in Full
19-00041-FOIA	2/26/2019	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).	Granted in Full
19-00042-FOIA	3/4/2019	1) Official release decisions involving two CFTC contractors (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 staff: Caroline Quintarelli; Srinivas Bangarabala; John Rogers; Jennifer Plumiee; Lauren Colon and Richard Haynes	Granted/Denied in Part
19-00043-FOIA	1/20/2019	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.	Denied in Full
19-00044-FOIA	3/8/2019	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)	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.	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)	Other Reasons - No records
19-00047-FOIA	3/8/2019	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)	Other Reasons - No records
19-00051-FOIA	3/21/2019	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)	Granted/Denied in Part
19-00052-FOIA	3/22/2019	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 divergence on swap execution facilities was mentioned or discussed.	Granted/Denied in Part
19-00053-FOIA	2/22/2019	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.	Granted in Full
19-00054-FOIA	3/28/2019	Requesting any trading, contract, or any information pertaining to the Title (b)(6) and any variations of this Corporate entity. SID (b)(6)	Other Reasons - No records
19-00055-FOIA	3/28/2019	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)	Granted/Denied in Part
19-00056-FOIA	3/25/2019	Any information on (b)(6) Was he a commodities trader in downtown Chicago? If so, when? Who did he work for? How many years was he a commodities trader?	Other Reasons - Public Records
19-00057-FOIA	4/18/2019	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)	Other Reasons - No records
19-00058-FOIA	4/19/2019	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," "S or any phrases used as synonyms for either of those terms (Date Range for Record Search: From 1/1/2007 To 4/19/2019)	Other Reasons - No records

19-00001-CONS	2/27/2019	Consultation with Department of Agriculture, regarding a FOIA request received by their agency.	Granted/Denied in Part
19-00059-FOIA	4/29/2019	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 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)	Denied in Full
19-00060-FOIA	4/30/2019	Copy of BPA CFIT08BP0119 and all associated calls (Task Orders)	Granted/Denied in Part
19-00001-REF	5/1/2019	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.	Granted in Full
19-00061-FOIA	5/3/2019	Requesting a transcript of the TAC meeting on June 20, 2012 (Date Range for Record Search: From 6/20/2012 To 6/20/2012)	Other Reasons - No records
19-00062-FOIA	5/3/2019	DCUR DATABASE re: (b)(6)	Other Reasons - Public Records
19-00063-FOIA	5/7/2019	Current speculative position trading limits for corn, soybeans and wheat or where the rules can be found or located	Other Reasons - Public Records
19-00064-FOIA	5/8/2019	Requesting all records, files, emails, notes, reports, schedules, statements, and documentation in CFTC possession. Also requesting any up-to-date phone numbers, Emails or addressess starting from January 2018 until April 2019 on the following individuals: Charity Buck, Yansensia Toledo, Mercedes Rodriguez, Gabriela Mendoza Martinez, Leslie McCray, Emily Davis, Marina Galvez, Maria Warnell, Brenda Aguilar, Haley Kaitlyn Kennedy and Ivanovic Torner. (Date Range for Record Search: From 1/1/2018 To 4/20/2019)	Other Reasons - Records not reasonably described
19-00065-FOIA	5/9/2019	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)	Other Reasons - No records
19-00066-FOIA	5/14/2019	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	Other Reasons - Request withdrawn
19-00067-FOIA	5/14/2019	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)	Other Reasons - Records not reasonably described
19-00068-FOIA	5/14/2019	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)	Other Reasons - No records
19-00069-FOIA	5/15/2019	Requesting documents and information regarding the following individuals and entities: (1) Gaylen Dean Rust, (2) Rust Rare Coin Inc., (3) Denise Gunderson 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.	Denied in Full
19-00070-FOIA	5/15/2019	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 characteristics available.	Other Reasons - Request withdrawn
19-00071-FOIA	6/6/2019	All information from CFTC about the client losses from the OptionSellers failure	Denied in Full
19-00072-FOIA	6/6/2019	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.	Other Reasons - Request withdrawn
19-00073-FOIA	6/6/2019	In regard to the lawsuit U.S. Commodity Futures Trading Commission v. Larry Benny Groover and Joanne Groover (4:11-CV-00064-RAS-DBB): All documents including or referencing communications to the defrauded investors Roger Byrd and Ronald Tipps. 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)	Granted/Denied in Part
19-00074-FOIA	6/6/2019	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)	Other Reasons - No records
19-00075-FOIA	6/7/2019	ANY/ALL CFTC WHISTLEBLOWER FILINGS 2008-2019 (Date Range for Record Search: From 1/1/2008 To 6/30/2019)	Denied in Full
19-00076-FOIA	6/7/2019	I would like to receive information on any and all securities sold in association with my name, (b)(6) and social security number, from 1979 to 2019. (Date Range for Record Search: From 1/1/1979 To 6/7/2019)	Other Reasons - Not an agency record
19-00077-FOIA	6/7/2019	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)	Granted in Full
19-00078-FOIA	6/7/2019	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)	Granted in Full
19-00003-REF	6/12/2019	Referral from OGE - OGE Form 202: Notice of Conflict of Interest Referral	Granted/Denied in Part

19-00079-FOIA	6/13/2019	1) Deposition transcripts with exhibits of Ryan A. Nassbridges and Bitu J. Nassbridges taken Re: In the Matter of American Bullion Exchange, et al., on or 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 Bitu 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 6/13/2009 To 6/13/2014)	Granted/Denied in Part
19-00080-FOIA	6/19/2019	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)	Other Reasons - Records not reasonably described
19-00081-FOIA	6/19/2019	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)	Other Reasons - No records
19-00082-FOIA	6/21/2019	Requesting Appendicies 1 to 34 of the Inspector General's Report on Stress Testing	Granted/Denied in Part
19-00083-FOIA	6/21/2019	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	Granted/Denied in Part
19-00084-FOIA	6/27/2019	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)	Other Reasons - No records
19-00085-FOIA	6/27/2019	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	Granted/Denied in Part
19-00086-FOIA	7/2/2019	Any investigative records that include the full name (b)(6) for the years 2010 - present. (Date Range for Record Search: From 1/1/2010 To 7/2/2019)	Denied in Full
19-00087-FOIA	7/2/2019	Requesting all files regarding decisions of the National Futures Industry Authority from January 1, 2000 to June 1, 2019. (Date Range for Record Search: From 1/1/2000 To 6/1/2019)	Other Reasons - No records
19-00088-FOIA	7/3/2019	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)	Granted/Denied in Part
19-00089-FOIA	7/8/2019	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)	Other Reasons - No records
19-00090-FOIA	7/8/2019	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)	Other Reasons - No records
19-00091-FOIA	7/11/2019	(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 7/11/2019)	Granted/Denied in Part
19-00092-FOIA	7/10/2019	Regulatory disclosure documents for Anne Carolyn Dinning, Edward Laurence Fishman, David Elliot Shaw and Maximilian Dana Stone.	Granted/Denied in Part
19-00093-FOIA	7/12/2019	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 17-01. (Date Range for Record Search: From 10/3/2011 To 10/3/2011)	Granted/Denied in Part
19-00094-FOIA	7/26/2019	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, tobacco & etc., any application requisites.	Other Reasons - Not a proper FOIA request for some other reason
19-00095-FOIA	7/26/2019	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.	Denied in Full
19-00096-FOIA	7/30/2019	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 the request. (Date Range for Record Search: From 1/1/2016 To 7/30/2019)	Granted/Denied in Part
19-00097-FOIA	7/31/2019	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.	Granted/Denied in Part
19-00098-FOIA	8/1/2019	Copies of the most recent 8Rs for Philippe Pierre Remy and Ludovic Zezima, and the most recent 7R for Lyxor Asset Management SAS.	Granted in Full

19-00099-FOIA	8/1/2019	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)	Other Reasons - No records
19-00003-CONS	8/5/2019	Referral from SEC	Granted in Full
19-00100-FOIA	8/7/2019	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. Paul Edward Norat (b)(6) 3. Manuel Andrew Keesee (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)	Other Reasons - Fee-related reason
19-00102-FOIA	8/7/2019	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.	Denied in Full
19-00103-FOIA	8/7/2019	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)	Denied in Full
19-00104-FOIA	8/8/2019	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 to its Derivatives Clearing Organization (DCO) registration, allowing for it to offer futures contracts to its clients.	Granted/Denied in Part
19-00105-FOIA	8/9/2019	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)	Granted/Denied in Part
19-00106-FOIA	8/9/2019	Requesting information related to chat transcriptions from a Bloomberg Chat Room	Denied in Full
19-00107-FOIA	8/12/2019	-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)	Granted in Full
19-00108-FOIA	8/13/2019	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)	Denied in Full
19-00109-FOIA	8/13/2019	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)	Other Reasons - Public Records
19-00110-FOIA	8/14/2019	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.	Granted in Full
19-00004-CONS	8/22/2019	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?	Granted in Full
19-00111-FOIA	8/22/2019	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 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?	Granted in Full
19-00112-FOIA	8/23/2019	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.	Granted in Full
19-00005-CONS	8/28/2019	Emails regarding press release input	Granted in Full
19-00113-FOIA	8/28/2019	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.	Granted in Full
19-00114-FOIA	8/28/2019	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)	Denied in Full
19-00115-FOIA	8/29/2019	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)	Granted in Full

19-00116-FOIA	8/29/2019	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, which contain any of the following keywords or phrases: • "fiduciary" • "bank examination" • "bank supervision" (Date Range for Record Search: From 7/15/2019 To	Granted/Denied in Part
19-00101-FOIA	9/9/2019	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)	Other Reasons - No records
19-00117-FOIA	9/9/2019	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)	Granted in Full
19-00118-FOIA	9/9/2019	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 (h)(6)	Other Reasons - Not an agency record
19-00119-FOIA	9/9/2019	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 (if any) was the manipulation alleged to have occurred in each of the securities and dates?	Other Reasons - Not a proper FOIA request for some other reason
19-00120-FOIA	9/10/2019	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	Other Reasons - No records
19-00121-FOIA	9/11/2019	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)	Other Reasons - Public Records
19-00122-FOIA	9/11/2019	Requesting the following records: 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 "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)	Granted/Denied in Part
19-00123-FOIA	9/12/2019	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)	Granted in Full
19-00124-FOIA	9/12/2019	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)	Other Reasons - No records
19-00125-FOIA	9/13/2019	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)	Granted in Full
19-00126-FOIA	9/13/2019	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)	Denied in Full
19-00002-AP	9/12/2019	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.	Completely Affirmed
19-00127-FOIA	9/17/2019	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 position level are available for #4 through #6, I would also like to see those.	Granted in Full

19-00128-FOIA	9/17/2019	Request for records: 1) All communications—including but not limited to letters, faxes, and emails, including 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)	Granted/Denied in Part
19-00129-FOIA	9/18/2019	7-R for Lighthouse Investment Partners LLC; NFA ID: 0406075	Granted/Denied in Part
19-00130-FOIA	9/20/2019	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	Granted in Full
19-00131-FOIA	9/23/2019	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)	Denied in Full
19-00132-FOIA	9/24/2019	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.	Granted in Full
19-00133-FOIA	9/25/2019	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, 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 9/23/2019)	Other Reasons - Referrals
19-00134-FOIA	9/25/2019	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.	Granted in Full
19-00135-FOIA	9/26/2019	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)	Granted/Denied in Part
19-00136-FOIA	9/27/2019	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.	Granted in Full
19-00137-FOIA	9/27/2019	Information on JP MORGAN INVESTMENT MANAGEMENT INC's NFA #233420	Granted in Full
20-00001-FOIA	10/1/2019	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.	Granted in Full
20-00002-FOIA	10/1/2019	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.	Granted/Denied in Part

20-00003-FOIA	10/2/2019	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) "living prices"; and/or (3) "printing trades."	Denied in Full
20-00004-FOIA	10/4/2019	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)	Granted in Full
20-00005-FOIA	10/8/2019	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	Granted in Full
20-00006-FOIA	10/8/2019	Requesting the entire file including but not limited to the following: I. 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	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)	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)	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)	Other Reasons - No records
20-00010-FOIA	10/18/2019	Notice of claim request to provide proof of documentation for, I, (b)(6) 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 help show an increase for my Social Security Disability, SSD	Other Reasons - Not a proper FOIA request for some other reason
20-00011-FOIA	10/22/2019	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	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	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)	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	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 10/28/2019)	Denied in Full
20-00016-FOIA	11/4/2019	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(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)	Denied in Full

20-00017-FOIA	8/22/2019	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. 111) (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	Granted/Denied in Part
20-00001-AP	11/5/2019	Appeal of FOIA Request Nos. 19-00130 and 20-00004.	Completely Affirmed
20-00018-FOIA	11/13/2019	NFA 7R and 8R Forms	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 Malac. (Date Range for Record Search: From 11/14/2018 To 11/11/2019)	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	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)	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.	Granted in Full
20-00023-FOIA	11/21/2019	All application information of ATC Brokers, NFA ID: 035822	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	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.	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)	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.	Denied in Full
20-00028-FOIA	12/3/2019	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 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)	Denied in Full
20-00029-FOIA	12/4/2019	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)	Granted/Denied in Part
20-00030-FOIA	12/6/2019	File requested: Thane Twigg's NFA ID: 0454518 Info Requested: 8R form	Granted/Denied in Part
20-00031-FOIA	12/6/2019	Lawrence Fox's 8-R Report	Granted in Full
20-00032-FOIA	12/6/2019	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)	Denied in Full

20-00033-FOIA	12/6/2019	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.	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.	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.	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)	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)	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)	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.	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)	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	Granted/Denied in Part
20-00042-FOIA	1/2/2020	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 1/1/2000 To 12/31/2019)	Other Reasons - No records
20-00001-CONS	1/3/2020	-3 unclassified documents -2 FBI documents regarding the CFTC	Granted/Denied in Part
20-00043-FOIA	1/6/2020	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)	Granted in Full
20-00044-FOIA	1/6/2020	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 Markets 13. Karinza 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. (Date Range for Record Search: From 1/1/2012 To 1/6/2020)	Denied in Full
20-00045-FOIA	1/8/2020	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 1/7/2020)	Other Reasons - No records

20-00046-FOIA	1/8/2020	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:	Granted/Denied in Part
20-00047-FOIA	1/8/2020	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)	Granted/Denied in Part
20-00048-FOIA	1/8/2020	Record of the date in which Interactive Brokers, LLC became a Futures Commission Merchant and began accepting customer funds.	Granted in Full
20-00049-FOIA	1/14/2020	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	Granted in Full
20-00050-FOIA	1/14/2020	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.	Granted in Full
20-00051-FOIA	1/15/2020	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)	Granted/Denied in Part
20-00052-FOIA	1/15/2020	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)	Other Reasons - No records
20-00053-FOIA	1/16/2020	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)	Granted in Full
20-00054-FOIA	1/22/2020	I, (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 posses regarding any audit, investigation or inquiry concerning (b)(6) (b)(6) or the time period June 1, 2010 through December 31, 2011. These documents, including correspondence, may have been directed to or been between (b)(6) (b)(6) (b)(6) (b)(6) and staff of the NFA or CFTC. (Date Range for Record Search: From 6/1/2010 To 12/31/2011)	Granted/Denied in Part
20-00055-FOIA	1/23/2020	Copy of the most recent BR for Sloane W. Payne III - NFA #271747	Denied in Full
20-00056-FOIA	1/27/2020	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)	Granted/Denied in Part
20-00057-FOIA	1/27/2020	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 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)	Granted/Denied in Part
20-00058-FOIA	1/29/2020	For the time period of January 1, 1997 to June 9r 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 6/9/1999)	Granted/Denied in Part
20-00059-FOIA	1/31/2020	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's testimony is available at https://www.cftc.gov/PressRoom/RecordSearch.aspx?g=6f5e439c-c3cc-4f95-8479-c25a109d137c	Denied in Full
20-00060-FOIA	1/31/2020	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.	Other Reasons - Request withdrawn
20-00061-FOIA	1/31/2020	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)	Granted/Denied in Part

20-00062-FOIA	2/3/2020	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 ECStone went innocent investors like me for the losses (Date Range for Record Search: From 11/12/2018 To 11/16/2018)	Denied in Full
20-00001-REF	2/3/2020	7 unclassified Documents which originated with the CFTC.	Granted/Denied in Part
20-00063-FOIA	2/3/2020	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)	Granted in Full
20-00064-FOIA	2/3/2020	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)	Granted/Denied in Part
20-00065-FOIA	2/5/2020	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)	Granted/Denied in Part
20-00066-FOIA	2/6/2020	The 8 December 2018 7-R Form of Oaktree Capital Management, LP (NFA ID:0297897) contains a "Yes" answer for a Regulatory Disclosure.	Granted in Full
20-00067-FOIA	2/6/2020	Copies of negotiations for contracts associated with the Augst 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)	Other Reasons - No records
20-00068-FOIA	2/11/2020	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.	Other Reasons - No records
20-00069-FOIA	2/11/2020	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)	Other Reasons - Not a proper FOIA request for some other reason
20-00070-FOIA	2/13/2020	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 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 @ballardfi.com and @ballardpartners.com 10. Porterfield, Fettig, & 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. ESOC 7. "Dodd-Frank" 8. "activities-based" 9. "activities-based" 10. "entity-based" 11. "entity-based" (Date Range for Record Search: From 1/1/1970 To 2/13/2020)	Other Reasons - No records
20-00071-FOIA	2/18/2020	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	Other Reasons - Not a proper FOIA request for some other reason
20-00072-FOIA	2/18/2020	• 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)	Granted/Denied in Part
20-00073-FOIA	2/19/2020	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)	Granted in Full
20-00074-FOIA	2/25/2020	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. From, Gerald D. Gay, and Mo Sheu. (Date Range for Record Search: From 2/1/1995 To 2/21/2002)	Granted in Full

20-00075-FOIA	2/26/2020	1998-2002 Interactive Brokers Monthly Segregated and Secured Funds Data. (Date Range for Record Search: From 1/1/1998 To 12/31/2002)	Other Reasons - No records
20-00076-FOIA	2/26/2020	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.	Granted in Full
20-00077-FOIA	3/3/2020	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)	Other Reasons - No records
20-00078-FOIA	3/3/2020	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)	Granted in Full
20-00079-FOIA	3/9/2020	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 (Sen 78, 2018)	Denied in Full
20-00080-FOIA	3/9/2020	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)	Granted in Full
20-00081-FOIA	3/10/2020	Commodity Trading, silver certification & appraisals. Any information pertinent to the request, in a PDF.	Other Reasons - Not a proper FOIA request for some other reason
20-00002-REF	3/10/2020	U.S. Department of Justice Referral for (b)(6)	Granted in Full
20-00082-FOIA	3/10/2020	I am requesting information or records regarding a complaint made by individual (b)(6) on or around January 8, 2019, including any decision or response rendered by the Commission. The confirmation number for this complaint is (b)(6)	Granted/Denied in Part
20-00083-FOIA	3/11/2020	(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 anonymized form with any information that identifies specific people being removed or concealed. (Date Range for Record Search: From 1/1/2013 To 12/31/2019)	Other Reasons - No records
20-00084-FOIA	3/11/2020	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.	Denied in Full
20-00085-FOIA	3/12/2020	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)	Granted in Full
20-00086-FOIA	3/12/2020	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.	Denied in Full
20-00087-FOIA	3/13/2020	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.	Other Reasons - Request withdrawn
20-00088-FOIA	3/17/2020	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.	Other Reasons - No records
20-00089-FOIA	3/17/2020	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.	Granted in Full
20-00090-FOIA	3/19/2020	(i) Expert reports of Terrence Hendershott (CFTC v. Nav Sarao Futures Limited Plc and Navindor 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.	Other Reasons - Public Records
20-00091-FOIA	3/23/2020	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.	Granted/Denied in Part

20-00092-FOIA	3/23/2020	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.	Denied in Full
20-00093-FOIA	3/23/2020	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 A-Mark 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.	Denied in Full
20-00094-FOIA	3/23/2020	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.	Granted/Denied in Part
20-00095-FOIA	3/27/2020	# 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.	Granted/Denied in Part
20-00096-FOIA	3/27/2020	#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.	Granted/Denied in Part
20-00097-FOIA	3/27/2020	#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.	Granted/Denied in Part
20-00098-FOIA	3/30/2020	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)	Other Reasons - No records

20-00099-FOIA	3/30/2020	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)	Denied in Full
20-00100-FOIA	3/31/2020	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)	Other Reasons - Public Records
20-00002-AP	4/9/2020	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	Completely Reversed/Remanded
20-00101-FOIA	4/10/2020	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.	Granted in Full
20-00102-FOIA	4/10/2020	I hereby request a copy of the CFTC 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)	Other Reasons - Public Records
20-00103-FOIA	4/13/2020	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)	Denied in Full
20-00104-FOIA	4/13/2020	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)	Other Reasons - No records
20-00105-FOIA	4/14/2020	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 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 1/1/2019 To 4/14/2020)	Other Reasons - No records
20-00106-FOIA	4/20/2020	The total amount lost when OptionSellers went under in November 2018	Denied in Full
20-00107-FOIA	4/29/2020	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)	Denied in Full
20-00108-FOIA	5/1/2020	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	Granted in Full
20-00109-FOIA	5/4/2020	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)	Other Reasons - No records
20-00110-FOIA	5/6/2020	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 2012 to present day 2020?	Other Reasons - Not a proper FOIA request for some other reason
20-00111-FOIA	5/7/2020	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: United States of America	Granted in Full
20-00112-FOIA	5/11/2020	I am requesting documents and information related to (1) the National Futures Association's ("NFA") investigation of (b)(6) (b)(6)	Other Reasons - No records
20-00113-FOIA	5/11/2020	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	Granted/Denied in Part
20-00114-FOIA	5/12/2020	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)	Granted/Denied in Part
20-00115-FOIA	5/13/2020	Information on Effex Capital, LLC and John Adam Harcovitz Dittami	Other Reasons - Not a proper FOIA request for some other reason
20-00116-FOIA	5/14/2020	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, itBit, 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)	Denied in Full
20-00117-FOIA	5/18/2020	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)	Granted/Denied in Part

20-00003-REF	5/20/2020	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).	Granted/Denied in Part
20-00118-FOIA	5/21/2020	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 electronic 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	Granted in Full
20-00119-FOIA	5/22/2020	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)	Other Reasons - Public Records
20-00120-FOIA	5/26/2020	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.	Granted/Denied in Part
20-00121-FOIA	5/26/2020	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.	Granted in Full
20-00122-FOIA	5/26/2020	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.	Granted/Denied in Part
20-00123-FOIA	5/26/2020	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)	Granted/Denied in Part
20-00124-FOIA	5/27/2020	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,	Other Reasons - Public Records
20-00125-FOIA	5/27/2020	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)	Denied in Full
20-00002-CONS	5/29/2020	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.	Granted in Full
20-00126-FOIA	6/3/2020	Requesting the Report of the Division of Trading and Markets: Exchanges of Futures for Physicals (Oct, 1987)	Granted in Full
20-00127-FOIA	6/4/2020	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.	Denied in Full
20-00128-FOIA	6/4/2020	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)	Other Reasons - Public Records
20-00003-CONS	6/8/2020	Consult for Division of Enforcement Records	Granted in Full
20-00129-FOIA	6/8/2020	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)	Granted/Denied in Part
20-00003-AP	6/8/2020	Appeal of FOIA 20-00079 by Constantine Gekas, for all records related to Commission Press Release 7811-18 (Sep. 28, 2018).	Completely Affirmed
20-00130-FOIA	6/8/2020	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)	Granted/Denied in Part
20-00131-FOIA	6/19/2020	I am requesting: (1) historical PWS/SOW for existing contract - 95232Y17CBMP0090 (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)	Granted in Full
20-00132-FOIA	6/19/2020	I am requesting information about your agency's policies regarding ex parte meetings during rulemaking.	Granted in Full
20-00133-FOIA	6/23/2020	Any investigative report for an investigation into conduct or activities of (b)(6)	Denied in Full
20-00134-FOIA	6/24/2020	Requesting NFA registration Forms for entities and individuals on whom we are conducting due diligence on behalf of our clients.	Granted/Denied in Part
20-00004-CONS	7/1/2020	15 unclassified documents which originated in the CFTC	Other Reasons - Not an agency record
20-00135-FOIA	7/1/2020	(a) Any information which would pertain to the fitness of (b)(6) to engage in business subject to the CFTC's jurisdiction; (b) Any information would pertain to the fitness of (b)(6) to engage in business subject to CFTC's jurisdiction; (c) Any information which would be considered in connection with (b)(6) seeking admission to NFA; (d) Any information which would be considered in (b)(6) seeking to become associated with a member of NFA; (e) Any information which would be considered in connection with (b)(6) seeking admission to NFA; and (f) Any information which would be considered in connection with (b)(6) seeking to become associated with a member of NFA.	Granted in Full

20-00136-FOIA	7/2/2020	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 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.	Granted/Denied in Part
20-00137-FOIA	7/2/2020	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."	Other Reasons - Request withdrawn
20-00138-FOIA	7/6/2020	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	Other Reasons - No records
20-00139-FOIA	7/13/2020	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)	Other Reasons - No records
20-00140-FOIA	7/13/2020	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.	Other Reasons - No records
20-00141-FOIA	7/14/2020	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)	Granted in Full
20-00142-FOIA	7/20/2020	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.	Granted/Denied in Part
20-00005-CONS	7/23/2020	FBI Records regarding: Black Diamond Ponzi Scheme (January 1, 2009-December 31, 2010)	Granted in Full
20-00143-FOIA	7/23/2020	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.	Denied in Full
20-00144-FOIA	7/23/2020	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	Other Reasons - No records
20-00145-FOIA	7/23/2020	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 FSO. Also, records regarding the description and results of the 2017 Tabletop Exercise run by DCR with many of the same participants	Other Reasons - No records
20-00146-FOIA	7/31/2020	I: 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: 9/18/1954), 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.	Granted/Denied in Part
20-00147-FOIA	8/3/2020	8R, digital copy only for ELAD SHRAGA	Granted/Denied in Part
20-00148-FOIA	8/7/2020	Requested non-public documents regarding Armand Nakkab ("Nakkab").	Denied in Full
20-00149-FOIA	8/10/2020	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.	Granted/Denied in Part
20-00150-FOIA	8/13/2020	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)	Granted/Denied in Part
20-00151-FOIA	8/13/2020	A copy of any memos discussing workforce attrition in the Division of Enforcement, and/ or its causes.	Other Reasons - No records

20-00152-FOIA	8/13/2020	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)	Other Reasons - No records
20-00004-AP	8/17/2020	Appeal of FOIA No. 20-00145-FOIA.	Completely Reversed/Remanded
20-00153-FOIA	8/19/2020	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.	Granted/Denied in Part
20-00154-FOIA	8/20/2020	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.	Granted in Full
20-00155-FOIA	8/20/2020	NFA 8-R Form for Douglas Braunstein 0452725	Granted/Denied in Part
20-00156-FOIA	8/21/2020	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)	Granted/Denied in Part
20-00157-FOIA	8/24/2020	This is a test	Other Reasons - No records
20-00158-FOIA	8/25/2020	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.	Other Reasons - No records
20-00159-FOIA	8/26/2020	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.	Denied in Full
20-00160-FOIA	8/28/2020	This is a Test	Other Reasons - No records
20-00161-FOIA	9/1/2020	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	Other Reasons - No records
20-00162-FOIA	9/1/2020	[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.	Other Reasons - No records
20-00163-FOIA	9/2/2020	NFA #242135 a copy of the Form 8-R application and related information on file with NFA for Armand Nakkab ("Nakkab")	Granted/Denied in Part
20-00164-FOIA	8/27/2020	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.	Granted/Denied in Part
20-00165-FOIA	9/2/2020	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	Other Reasons - Request withdrawn
20-00166-FOIA	9/3/2020	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-	Other Reasons - Not a proper FOIA request for some other reason
20-00006-CONS	9/3/2020	FOIPA Request 0(b)(6) 2010) Pending Lit.	Granted/Denied in Part - Referrals
20-00167-FOIA	9/3/2020	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)	Other Reasons - Not a proper FOIA request for some other reason
20-00168-FOIA	9/4/2020	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 September 2014: 11-00107-FOIA	Other Reasons - Public Records
20-00169-FOIA	9/9/2020	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)	Other Reasons - No records

20-00170-FOIA	9/10/2020	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	Other Reasons - No records
20-00005-AP	9/3/2020	Copy of the SIDCO Examination Handbook/Manual. If no record exists, a copy of the DCO Handbook or manual.	Completely Affirmed
20-00171-FOIA	9/15/2020	Form 8R and all disclosure matters for Emily Portney	Granted in Full
20-00172-FOIA	9/17/2020	I am trying to locate comment letters for 92-004. Here is the link - https://www.cftc.gov/foia/commentarchive2/foi92--004_1.htm	Other Reasons - Request withdrawn
20-00173-FOIA	9/18/2020	This is a TEST	Other Reasons - Not a proper FOIA request for some other reason
20-00007-CONS	9/18/2020	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	Granted in Full
20-00174-FOIA	9/24/2020	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)	Granted in Full
21-00001-FOIA	10/1/2020	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, ND Illinois). https://www.justice.gov/opa/pr/two-former-deutsche-bank-traders-	Denied in Full
21-00002-FOIA	10/5/2020	Any and all information regarding spoofing claims against Joshua Bailer and/or Sunoco for the period 2014 through 2016, including copies of any complaints, responses, evidence of violations, consent orders, stipulations, testimony.	Granted/Denied in Part
21-00003-FOIA	10/6/2020	Pursuant to the Freedom of Information Act, 5 U.S.C. § 552, we respectfully request copies of any documents described in the enumerated categories below that are in the possession of the Commodity Futures Trading Commission ("CFTC") or of any entity authorized to act on behalf of the CFTC. Definitions: The term "CFTC" refers to any member of the Commodity Futures Trading Commission and any officers, directors, employees, authorized agents, representatives, or other persons purporting to act on behalf of the CFTC. The term "communications" means all written or verbal communications, by any and all means, including, without limitation, letters, memoranda, electronic mail, and/or recorded voicemails, by which information, in whatever form, is stored, transmitted, or received, and includes every manner or means of disclosure, transfer or exchange, and every disclosure, transfer or exchange of information whether orally or by document or otherwise, face-to-face, by telephone, telecopies, email, text, modem transmission, computer generated message, or mail. It does not include any information protected by the work-product doctrine or the attorney-client privilege. The terms "concerning" or "relating to" mean referring to, mentioning, discussing, reflecting, containing, stating, describing, embodying, evidencing, constituting, dealing with, or making reference to in any way. The term "JPMorgan" refers to JPMorgan Chase & Co. and any officers, directors, employees, authorized agents, representatives, or other persons purporting to act on behalf of JPMorgan. Categories of Requested Materials: We respectfully request that the CFTC produce the following categories of materials: 1. For the period from September 11, 2020 through September 25, 2020, any and all communications between the CFTC and any individual working with or for (either as an independent contractor or employee) AmLaw, Associated Press, Bloomberg, Business Insider, CNBC, Financial News, Financial Times, Fox, Law360, Law.com, Reuters, Wall Street Journal, Washington Post, or Yahoo News concerning Cedric Chanu, James Vorley, the CFTC's investigation of alleged spoofing committed by employees of JPMorgan, or the anticipated settlement of such investigation of JPMorgan. 2. For the period from September 11, 2020 through September 25, 2020, any and all communications relating to communications between the CFTC and any individual working with or for (either as an independent contractor or employee) AmLaw, Associated Press, Bloomberg, Business Insider, CNBC, Financial News, Financial Times, Fox, Law360, Law.com, Reuters, Wall Street Journal, Washington Post, or Yahoo News concerning Cedric Chanu, James Vorley, the CFTC's investigation of alleged spoofing committed by employees of JPMorgan, or the anticipated settlement of such investigation of JPMorgan. (Date Range for Record Search: From 9/11/2020 To 9/25/2020)	Granted in Full
21-00004-FOIA	10/7/2020	The most recent Larger Trader Form 40 filings for Lumber.	Denied in Full
21-00138-FOIA	8/26/2021	(b)(6) was charged in a 54 point civil indictment including failure to properly register and other illegal business practices in August 1979. Subsequently the Government agreed to having the 4 Defendants sign a Permanent Injunction in the Civil case. No criminal indictment was ever filed. The Washington Post recently began reporting only the original charges filed by the CFTC and an erroneous description in what they call "the fraudulent scheme". Google has picked up the Washington Posts original article of only the charges which were never proven. These documents are 42 year old, it is a civil case, there are no criminal charges. Unfortunately the documents of this case are not in my possession do not exist and the Washington Post has no other record of the case or their subsequent reported articles. Their were 4 defendants in the case as well as the company. 1) (b)(6)	Granted in Full
21-00139-FOIA	8/27/2021	All position limit exemptions under 17 CFR 150.3 in effect for the time period between January 1, 2021 and August 27, 2021, including but not limited to the following information: the name of the entity receiving the position limit exemption, the commodity to which the exemption applies, and the date when the exemption was granted.	Other Reasons - Request withdrawn
21-00140-FOIA	9/10/2021	The Dodd-Frank Act requires that the CFTC publish a report on trading, clearing, participants, and products in the Swaps market on a semi-annual and annual basis per (CEA Section 2(a)(14)). The CFTC had elected to publish a Swaps report on a weekly basis. Currently, in 2021 the CFTC has not published a semi-annual Swaps report and their most recent public data reporting was done on 11/20/2020. That data is 9 months old and outside of the range of which Dodd-Frank requires a semiannual data report. I would like to inquire to receive a copy of the data in any format excel, word, or pdf.	Other Reasons - Public Records

21-00141-FOIA	9/3/2021	The CFTC is required by the Dodd-Frank Act to publish periodic (semi-annual) reports on the swaps market that detail trading, clearing, products, and participants, according to CEA Section 2(a)(14). The CFTC has not yet published a semi-annual report for 2021. I am requesting a copy of all data, records and documents that are (or are reasonably expected to be) either cited within (or used during the process of compiling) this legally mandated 2021 report, including unpublished and/or unfinished/incomplete materials or portions thereof (for example draft versions, or partially tabulated data).	Other Reasons - Request withdrawn
21-00142-FOIA	9/1/2021	I was curious if it is possible to gain the schedules for the following members of the CFTC from April 1st 2021 until today August 30th 2021. Chairman Rostin Behnam, Commissioner Brian D. Quintenz, Commissioner Dawn DeBerry Stump, Commissioner Dan M. Berkovitz. Thank you!	Granted/Denied in Part
21-00143-FOIA	9/1/2021	Any and all information related to the Commodity Futures Trading Commission's Market Participants recent issuance of a "limited-time no-action letter concerning capital and financial reporting obligations for swap dealers (SDs) subject to capital requirements of a prudential regulator (Bank SDs) under the CFTC's SD financial reporting rules". Pursuant to the The Dodd-Frank Wall Street Reform and Consumer Protection Act effect July 21, 2010.	Granted in Full - Public Records
21-00144-FOIA	9/1/2021	I am herby requesting information relating to all forms of Total Return Swap documentation, contractual obligations, percent of portfolio holdings, and of agreements, as well as the terms of agreement, through the dates December 1st, 2020 through June 1, 2021; relating directly to the following counterparties; The CFTC, Citadel enterprises LLC, Citadel Securities, Citadel Technology, Susquehanna International, Susquehanna Securities, Capital Ventures International, Susquehanna Advisors Group , CVI opportunities fund, G1 execution Services, Darby Financial services, Melvin Capital, and Point	Other Reasons - Request withdrawn
21-00145-FOIA	9/10/2021	Salaber Associates, Inc. and Dewberry's RFPs for Capital SouthEast Connector Segment D3(A), Project No. PW1607, Federal Project No. 5288(046)	Other Reasons - No records
21-00146-FOIA	9/10/2021	I am looking for a missing decision on our Lexis Advance Platform. The Details of the case are: In re the Application of the Nat'l Futures Ass'n, 1981 WL 762560, at *37 (CFTC Sept. 22, 1981)	Granted in Full
21-00147-FOIA	9/17/2021	Records sufficient to identify all CFTC employees who entered into a position as a "political appointee" on or after January 20, 2021, and the title or position of each employee. For purposes of this request, please consider a "political appointee" to be any employee in a presidential appointment without Separate confirmation (PA) position; a non-career Senior Executive Service (NA) position; or a Schedule C (SC) position	Other Reasons - No records
21-00148-FOIA	9/17/2021	1.) Any requests for relief from KalshiEX LLC, LedgerX LLC, Preditciti.org, Victoria University of Wellington (New Zealand), ErisX, Eris Exchange LLC, and Eris Clearing LLC. 2.) Any correspondence between the CFTC and KalshiEX LLC, LedgerX LLC, Preditciti.org, Victoria University of Wellington (New Zealand), ErisX, Eris Exchange LLC, or Eris Clearing LLC in relation to the requests for relief.	Granted/Denied in Part
21-00007-CONS	9/21/2021	Treasury consult RE: Treasury senior leaders calendar entries	Granted in Full
21-00149-FOIA	9/21/2021	I request a copy of each email in former CFTC OIG employee Tony Baptiste that contains the word "FOIA" during the time period January 1, 2019 through May 31, 2019, based on an electronic search. You may omit compilations of news clippings. I agree to accept the results of an electronic search of the email repository.	Other Reasons - No records
21-00150-FOIA	9/21/2021	A copy of the Report of Investigation, Final Report, Closing Report, Closing Memo, Referral Memo, Referral Letter, and other conclusory document for each of the following CFTC OIG investigations: 17-I-12, 18-I-05, 18-I-08, 18-I-09, 19-I-01, 19-I-04, 19-I-05, 19-I-06, 19-I-07, 19-I-08, and 20-I-01. I would like the documents for both the substantiated and unsubstantiated investigations.	Granted/Denied in Part
23-00025-FOIA	10/25/2022	(1) All communications, whether handwritten, paper, email, text, messaging application messages, voicemail messages, or other form of recorded transfer of information, ideas, opinions, or thoughts (hereinafter, "Communications"), between CFTC (including, but not limited to, the Division of Market Oversight "DMO") and Asset Risk Management, LLC ("ARM"), and their respective agents, attorneys, employees, or representatives, regarding whether ARM had to register as a SEF. (2) All Communications between CFTC (including, but not limited to, DMO) and Symphony Communications Services, LLC ("Symphony"), and their respective agents, attorneys, employees, or representatives, regarding whether Symphony had to register as a SEF. (3) All Communications between CFTC (including, but not limited to, DMO) and AEGIS SEF or AEGIS CTA, and their respective agents, attorneys, employees, or representatives, leading to the submission of AEGIS SEF's application to register as a SEF	Granted/Denied in Part
23-00026-FOIA	10/25/2022	(1) For the period January 1, 2012, to the date of CFTC's search for documents responsive to this request, any information bearing on the CFTC's understanding of the term "swap exchange facility" as used in: i) Section 1a(50) of the Commodity Exchange Act ("CEA"); ii) Section 5h(a)(1) of the CEA, and iii) Core Principles and Other Requirements for Swap Execution Facilities, 78 FR 33476 (June 4, 2013) (the "2013 Final Rule"). (2) All materials (including, but not limited to, communications, whether handwritten, paper, email, text, messaging application messages, voicemail messages, or other form of recorded transfer of information, ideas, opinions, or thoughts (hereinafter, "Communications") and memoranda) reflecting a comparison of the facts and circumstances that would trigger a swap execution facility ("SEF") registration obligation under Letter No. 21-19, Staff Advisory on Swap Execution Facility Registration Requirement, issued on September 29, 2021, to the facts and circumstances that would trigger a SEF registration obligation under the 2013 Final Rule. (3) For the period January 1, 2012, to the date of CFTC's search for documents responsive to this request, any Communications from CFTC (including, but not limited to, DMO) to commodity trading advisors ("CTA") or introducing brokers ("IB") (including, but not limited to, counsel for CTAs or IBs), and any communications from CTAs or IBs to the CFTC, regarding whether CTAs or IBs may be subject to SEF	Granted/Denied in Part
23-00027-FOIA	10/27/2022	From Jan. 1, 2018 through the present: -Any records, letters, meeting notes and emails (including attachments) sent or received by the Designated Agency Ethics Officials or other agency ethics officials to and from the Office of the Inspector General regarding referrals to the OIG for conflicts of interest. Any communications between agency ethics officials and the Office of Government Ethics regarding conflicts of interest. Any records sent or received by the Office of Inspector General or by agency staff regarding ethics violations referred to the Justice Department (Date Range for Record Search: From 1/1/2018 To 10/26/2022)	Other Reasons - No records
23-00028-FOIA	11/1/2022	the materials described on the commission's frequently requested documents page as "Victoria University Communications," file number 19-00088.	Granted in Full
23-00029-FOIA	11/3/2022	I request a copy of every OGE Form 278e filed with the agency in 2021 and 2022, along with all supporting documentation that may have been submitted.	Other Reasons - Public Records
23-00048-FOIA	11/18/2022	I am seeking all messages sent and received by representatives from the CFTC and the firm FTX between 11/5/2022 and 11/18/2022	Other Reasons - Records not reasonably described
23-00049-FOIA	11/18/2022	I am seeking all emails sent by accounts associated with CFTC Chairman Rostin Behnam and SEC Chairperson Gary Gensler between 11/1/2022 and 11/18/2022 with keywords: "SEF" or "FTX."	Other Reasons - No records
23-00050-FOIA	11/18/2022	I am seeking complaints submitted to CFTC regarding the firm FTX between 11/1/2022 and 11/18/2022	Denied in Full

23-00051-FOIA	11/21/2022	Please see the attached.	Denied in Full
23-00052-FOIA	11/21/2022	11/20/2022 Rosemary Killroy Assistant General Counsel CFTC FOIA Office, Three Lafayette Centre 1155 21st Street, NW Washington, DC 20581 Re: Freedom of Information Act Request Ms. Killroy: Under the Freedom of Information Act (5 U.S.C. Section 552), I am respectfully requesting that I be provided the following information: 1.) All emails, text messages, letters, documents, and correspondence in the custody, control, or possession of the Commodity Futures Trading Commission sent between any member of Congress or their agents and any employee of the Commodity Futures Trading Commission that relate in any way to FTX cryptocurrency exchange's business practices, compliance with U.S. laws, use of investor funds, use of customer funds, custody of user funds, solvency, marketing or advertising strategy, or paid promoters; 2.) All emails, text messages, letters, documents, and correspondence in the custody, control, or possession of the Commodity Futures Trading Commission relating in any way to monetary donations made by Samuel Bankman-Fried or FTX to any member of Congress; and, 3.) All emails, text messages, letters, documents, and correspondence in the custody, control, or possession of the Commodity Futures Trading Commission relating to any member of Congress and their financial investment in FTX, their ownership interest in FTX, or their monetary donations made to FTX. I respectfully request that copies of the requested information be produced in an electronic format. Please note that 5 U.S.C. Section 552(a)(4)(A)(iv)(II) requires that you provide the first 100 copies to me at no charge. However, I am requesting a waiver of all fees under 5 U.S.C. Section 552(a)(4)(A)(iii). The information I seek is in the public interest because it will contribute significantly to the public's understanding of the operations and activities of its elected officials in government and because this request will serve no commercial interest to me. Consequently, I believe I meet the criteria for a fee waiver recognized by both the U.S. Justice Department in its policy guidance of April 1987, and by the federal courts. (See Project on Military Procurement v. Department of the Navy, 710 F. Supp. 362 363, 365 (D.C.D. 1989)). First, my request concerns the operations or activities of government. FTX operates within the United States and provides services to United States citizens, and as such, is subject to the jurisdiction of the United States. Pursuant to that jurisdiction, the United States government has exerted its authority to regulate the operations of and services provided by FTX cryptocurrency exchange via the CFTC and the holding of committee hearings. For example, the FTX previously applied to the CFTC to provide cryptocurrency derivatives products. On December 8th, 2021, the House Financial Services Committee held a hearing in which FTX cryptocurrency exchange founder Samuel Bankman-Fried testified to members of Congress on how to regulate cryptocurrency. Further, the House Financial Services Committee recently announced it plans to hold a hearing in December 2022 that will specifically concern FTX cryptocurrency exchange. Thus, my request for the above requested information directly concerns operations and activities performed by the United States government. Second, the information I seek has informative value and potential for contribution to public understanding. Please note the decision in Elizabeth Eudey v. Central Intelligence Agency, 478 F. Supp. 1175 1176 (D.C.D. 1979) (even a single document has the potential for contributing to public understanding). The information I am requesting has a high potential for	Other Reasons - No records
23-00053-FOIA	11/21/2022	I am requesting information or records regarding the CFTC's investigation into violations of the Commodity Exchange Act and Commission Regulations by Sam Ikkurty (aka Sreenivas J Rao), Ravishankar Avadhanam, Jafia LLC, Ikkurty Capital LLC (dba Rose City Income Fund), Rose City Income Fund II LP, and Senera Ventures LLC as alleged by the CFTC in Case No. 1:22-cv-02465.	Denied in Full
23-00054-FOIA	11/28/2022	I am requesting information or records regarding two recent events: 1. the Commodity Futures Trading Commission's approval for Kalshi.com to operate as a Designated Contract Market, and 2. the Commodity Futures Trading Commission's withdrawal of the No-Action letter issued to Victoria University of Wellington and under which PredictIt operated from 2014 to present. 1. emails to or from Brian Quintenz sent/received AFTER April 13, 2020 mentioning "PredictIt", "Victoria University", "Kalshi", or "Designated Contract Market" 2. emails sent/received AFTER April 13, 2020 mentioning both Brian Quintenz and also one or more of: "PredictIt", "Victoria University", "Kalshi", or "Designated Contract Market" 3. emails sent/received BEFORE April 13, 2020 to/from/mentioning Brian Quintenz and also mentioning one or more of: "PredictIt", "Victoria University", "Kalshi", or "Designated	Other Reasons - Records not reasonably described
23-00055-FOIA	12/13/2022	Any and all communications or documents including but not limited to emails, transcripts, briefs, etc. between January 1, 2021 and November 28, 2022 regarding FTX, Alameda Research including: Sam Bankman Fried, Dan Friedberg, Michael Kives, Linda P. Fried, and Caroline Ellison (Date Range for Record Search: From 1/1/2021 To 11/28/2022)	Other Reasons - Records not reasonably described
23-00056-FOIA	11/29/2022	I am looking for any meetings or calls that Commissioners Johnson, Goldsmith Romero, or Mersinger had with employees or representatives of FTX, FTX.US or LedgerX. Most likely individuals representing those firms would be Samuel (Sam) Bankman-Fried, Mark Wetjen and Ryne Miller	-
23-00057-FOIA	11/29/2022	I am looking for any meetings or calls that Chair Behnam had with employees or representatives of FTX, FTX.US or LedgerX. Most likely individuals would be Samuel (Sam) Bankman-Fried, Mark Wetjen and Ryne Miller	-
23-00058-FOIA	11/29/2022	any list/table of all litigation to which the Commodity Futures Trading Commission was/is currently a party on rules required by the Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank). More generally, any list of litigation related to CFTC rules and regulations since 2010 would be responsive to this request. CFTC Rulemaking is defined to mean any (1) concept release or other guidance document, (2) proposed rule or advanced notice of proposed rulemaking, or (3) interim or final rule published to the Federal Register. As an example of the kinds of records that would be responsive to this request, I would note that the Federal Reserve Board makes available these kinds of records as part of its annual reports under the	Other Reasons - No records
23-00076-FOIA	12/27/2022	Kindly send me any and all non-public records compiled in investigations and consumer complaints against LedgerX LLC for the period of 05/29/2014-12/24/2022.	Other Reasons - Records not reasonably described
23-00077-FOIA	12/27/2022	First, is CFTC FOIA file number 22-00075, titled "the LedgerX LLC Communications." Second, I am writing to you to request a copy of all emails between CFTC Chairman Rostin Behnam and FTX CEO Sam Bankman-Fried (sam@ftx.us), FTX general counsel Ryne Miller (ryne@ftx.us), and Mark Wetjen (mwetjen@miami-holdings.com) between the dates of Aug. 1, 2021 and Nov. 15, 2022. Please include emails and email chains to and from those individuals to Chairman Behnam	Granted/Denied in Part
23-00078-FOIA	12/27/2022	all CFTC and CEA Commitments of Traders Reports from 1962-1986.	Other Reasons - Public Records
23-00079-FOIA	12/27/2022	documents that are listed in the CFTC's FOIA Library but are not made available online. Specifically, I'm seeking these documents: 22-00075 LedgerX LLC Communications.	Granted in Full
23-00080-FOIA	12/27/2022	I request disclosure from the CFTC the following records from the file numbers below 1. 22-00075 2. 22-00083	Granted in Full
23-00081-FOIA	12/27/2022	Chairman Rostin Behnam's calendar from Sept 1, 2021 to present.	-

23-00082-FOIA	12/28/2022	all communications between CFTC commissioners and staff, including Chairman Rostin Behnam and Chief of Staff and Chief Operating Officer under Chairman Behnam David Gillers, with representatives of FTX, FTX US and FTX US Derivatives (also known as LedgerX)", including Samuel Bankman-Fried, Ryne Miller and Mark Wetjen	Other Reasons - Records not reasonably described
23-00083-FOIA	1/17/2023	I am requesting all e-mails, reports, messages, phone calls, investigations, summaries and meetings where GameStop (and/or GME) was a topic of conversation. This includes GameStop being mentioned in an email, message or on a phone call or was a topic at a meeting. I am also requesting all data related to GameStop derivatives and swaps	Other Reasons - Records not reasonably described
23-00084-FOIA	12/30/2022	1. All records, including emails, memos, letters, text messages and reports sent or received by CFTC staff, counsel, commissioners and chairmen from Jan. 1, 2019, through the date that the search for responsive records is conducted, regarding FTX and affiliated companies, including FTX US, FTX.com, LedgerX and Alameda Research, and their current and former executives and attorneys. This should include Samuel Bankman-Fried, Ryne Miller, Zach Dexter, Jill Sommers, Mark Wetjen and Brett Harrison. This request should cover former and current CFTC chairmen (Rostin Behnam, Heath Tarbert and Christopher Giancarlo), John Dunfee, David Gillers, Laura Gardy, Lucy Hynes, Erik Remmler and all commissioners during this time period. The list of commissioners is comprised of Kristin Johnson, Christy Goldsmith Romero, Summer Mersinger, Caroline Pham, Dawn Stump, Dan Berkovitz and Brian Quintenz. The request includes the entire e-mail chain in which the employee is a sender or recipient (including a "cc" or "bcc") of one or more e-mails in the chain. This request also includes any attachments. 2. All briefing books prepared for meetings attended by these CFTC leaders and employees to discuss FTX and related entities. 3. All meeting minutes and summaries for meetings involving FTX entities, FTX executives and FTX representatives from Jan. 1, 2019, through the date the search for responsive records is conducted. 4. Calendar and appointment books during the period from Jan. 1, 2019, through the date the search for responsive records is conducted.	-
23-00085-FOIA	1/3/2023	On November 20, 2020, the CFTC published a report titled, Interim Staff Report Trading in NYMEX WTI Crude Oil Futures Contract up to, on, and around April 20, 2020. Please provide the following information referenced in the CFTC report: -The "multiple sources of information, collected and maintained by the CFTC covering end-of-day positions, aggregated intraday transactions, and market depth information from the electronic central limit orderbook" relating to the period April 19 - April 21, 2020. CFTC Rep. 15. -"[A]ll relevant, reported derivative transactions involving the May Contract during the spot period, April 17 to April 21. Staff of those divisions analyzed approximately 500,000 futures transactions," as well as data relating to "the use of commodity swap hedged with WTI Contracts" relating to the period April 17, 2020 to April 21, 2020. CFTC Rep. 15, including but not limited to: Reportable futures positions by significant market participants; Large trader reporting obtained through Form 40 filings required under Regulation 18.04; Part 20 information for large traders for physical commodity swaps; Parts 45 and 46 swap data recordkeeping and reporting submissions made by various market participants in swaps and options; and Trade information provided by Designated Contract Markets (DCMs) under Part 16. -For the period from April 1, 2020 through July 1, 2020, all reportable futures positions by significant market participants, large trader reporting obtained through Form 40 filings required under CFTC Regulation 18.04, Part 20 information for large traders for physical commodity swaps, Parts 45 and 46 swap data recordkeeping and reporting submissions made by various market participants in swaps and options, and trade information provided by DCMs under Part 16. CFTC Rep. 15 n.59. -The underlying data used to create "Table 2: Reportable Trader Positions in May Contract" on pages 17-18 of the CFTC Report reflecting the number of commercial and non-commercial traders in the May Contract at various points in April, along with their long and short positions. -The underlying data for the breakdown of market participants holding May Contracts OI on April 20, 2020 going into the trading session presented in Figure 11; the underlying data for the analysis of the reduction in Open Interest during the trading session on April 20, 2020 depicted in Figure 12; and the breakdown of market participants holding May Contracts OI going into the trading session on April 21, 2020. CFTC Rep. 20. -The "comprehensive transaction dataset collected by the CFTC," referred to on page 23 of the CFTC Report ("C. Intraday Trading"), which was used to analyze aggregated intraday trading activity, including but not limited to: intraday prices; volumes; and specific facts conditioning on customer account details. -The data collected from Vertex Analytics referred to on page 28 of the CFTC Report ("D. Liquidity & Order Book Analysis"). Please provide the underlying data being referred to, specifically daily market depth files and reconstructed limit order books for April 17-21, 2020. -All records relating to the "DCBs" and "VL events" referenced on page 36 of the CFTC Report, including but not limited to records reflecting the time when each DCB was triggered and each VL event occurred as well as a brief description of what caused the trigger/event, and the underlying raw data used to produce the graph on page 36 of the CFTC Report. -Any document requests the CFTC has received from the Chicago Mercantile Exchange Group ("CME")	Granted/Denied in Part
23-00005-FPA	1/17/2023	all records, files, both hard and soft copy, all emails, notes written or type, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency has maintained records in various database, records, indexes, or list in its possession under Title 5 U.S.C. §552, and the Commissions rules contained in Title 17 C.F.R. §1462(k) [...] all information related to the symbols related to the Security Name (b)(6) in specific ticker symbol "FSEHX" Fidelity Advisor Short Duration High Income Fund- Class A	Other Reasons - Records not reasonably described
23-00086-FOIA	1/5/2023	any available information on this agency's regulation of CRYPTOCURRENCY in general and, specifically, COMMODITY TOKENS, including, but not limited to, how tokens regulated by the CFTC differ from tokens regulated by the Securities and Exchange Commission.	Other Reasons - Public Records
23-00087-FOIA	1/6/2023	Kindly provide me with copies of any and all correspondence between the CFTC and LedgerX LLC for the period of 05/29/2014-01/04/2023.	Other Reasons - Not a proper FOIA request for some other reason
23-00006-FPA	1/20/2023	any and all records concerning my name and SSN	Other Reasons - Not a proper FOIA request for some other reason
23-00088-FOIA	1/6/2023	Kindly provide me with copies of any and all correspondence between the CFTC and North American Derivatives Exchange, Inc. ("NADEX", NFA ID 0340344) for the period of 05/25/2020-01/06/2023.	Other Reasons - Duplicate Request
23-00089-FOIA	1/6/2023	We are requesting an Excel spreadsheet that shows all CFTC registered firms as of October 31, 2022. Can you send me an Excel spreadsheet?	Other Reasons - Public Records
23-00090-FOIA	1/9/2023	I am seeking any and all records involving: - a referral of (b)(6) to the inspector general related to potential violations of the Commodity Exchange Act - any communications between ethics officials and the OIG related to (b)(6) - any referrals to the OIG in 2022 involving short selling	Denied in Full

23-00091-FOIA	1/11/2023	I request disclosure from the CFTC of any requests to social media companies (including, but not limited to: Twitter, Facebook/Meta, Google, Reddit, TikTok) for social media accounts or posts to be taken down or made non-public. The relevant time period would be from Jan. 1, 2016 to the present. These records are most likely held by the enforcement division, office of general counsel, and/or the office of public affairs, but may be held in other offices or divisions. These requests may have been sent directly to the social media companies or sent to divisions of the Federal Bureau of Investigation (FBI) or Department of Homeland Security (DHS), or the State Department's Global Engagement Center (GEC). (Date Range for Record Search: From 1/11/2023 to 1/11/2023)	Other Reasons - No records
21-00005-FOIA	10/9/2020	1. Records identifying policies and procedures, training materials, contracts, proposals or requests for proposals, and communications regarding the implementation and use of virtual communication tools, programs, and other meeting platforms, including but not limited to Microsoft Teams, Google Duo, Zoom, Slack, Go-To-Meeting/Go-To-Webinar, or bespoke solutions on both classified and unclassified systems. 2. Records documenting or analyzing applied agency practices, including records documenting technical assistance, for the capture, preservation, and management of records from virtual communication tools, programs, and other meeting platforms utilized by the agency. The time period for all requests is from October 1, 2019 to October 1, 2020.	Granted/Denied in Part
21-00006-FOIA	10/15/2020	Could you provide us with any information available in relation to answering "Yes" to Question 1, in the Canvas Capital SA 7R form - Regulatory Disclosures section? Question 1, is the firm or sole proprietor a party to any action, or is there a change pending, the resolution of which could result in a "Yes" answer to the above questions?	Granted/Denied in Part
21-00001-CONS	10/16/2020	The requester is seeking records related to all policies, procedures, guidelines, formal or informal guidance, advisories, directives, and memoranda concerning the acquisition, processing, retention, or dissemination of data collected or generated through CBP's biometric services and infrastructure, including biometric templates concerning use of facial recognition technology. Upon review of the responsive documents it was determined that 6 pages may be of interest to your agency. Please review the enclosed documents and return them to this office with your exemptions and recommendations so that they are processed in accordance with the request. OCTOBER 25, 2020	Granted in Full
21-00007-FOIA	10/16/2020	Any subpoenas or other documents related to concerns about violations of the banking secrecy act with regards to the following companies or projects: 1) Binance Holdings Limited 2) coinMarketcap opco, LLC 3) bitFlyer, Inc 4) ByBit 5) Bequant Exchange Ltd 6) FTX Trading LTD 7) Huobi Group 8) OKeX 9) Uniswap 10) Bittrex 11) Airswap Protocol 12) IDEX 13) Bancor 14) Kyber Network 15) Decred DEX 16) Bitfury	Other Reasons - No records
21-00008-FOIA	10/19/2020	(b)(6) Form 8-R outlines that he has been subject to disciplinary actions with respect to criminal disclosure matters.	Denied in Full
21-00009-FOIA	10/21/2020	I am requesting documents 1 and 3 from file number RF05-003 in Category B, placed on the public record 05/18/2005. The first document is from George R. Neumann, University of Iowa to Chairman Gramm, Concerning 1992 Iowa Presidential Stock Market, dated 12/05/1991 and is 2 pages long. The third document is from George R. Neumann, University of Iowa, to Tina P. Shea, Division of Trading and Markets, Concerning Iowa Electronic Markets: IEM Trader's Manual Attached, dated 7/16/1992 and is 57 pages long.	Other Reasons - No records
21-00010-FOIA	10/21/2020	I am writing on behalf of our client, (b)(6) to hereby request the following CFTC records: All records, created from November 1, 2008 to May 31, 2017, that discuss or describe any investigation(s) of our client, (b)(6) for any alleged violations of the Commodity Exchange Act, 7 U.S.C. 1 et. seq., or the implementing regulations for that statute, 17 C.F.R. 1.1 et. seq., including any and all records or evidence used to support the allegations directed against our client in the federal court action identified as (b)(6) (SDNY), and all communications to or from the CFTC, from November 1, 2008 to the present, that discuss or describe any alleged or claimed violations of the above referenced Act and its implementing regulations pertaining to actions by our client, sent to or from any CFTC staff, any other federal agencies, any state or local government staff, and any other nongovernmental persons or business entities.	Granted/Denied in Part
21-00011-FOIA	10/21/2020	I am requesting Victoria University of Wellington's Request for No-Action Letter regarding the Operation of a Small-Scale, Not-for-Profit Market for the Trading of Event Contracts for Educational Purposes. The response to the document I am requesting is CFTC Letter No. 14-130, dated October 29th, 2014 to Neil Quigley, Deputy Vice-Chancellor of Research at Victoria University of Wellington from Vincent McGonagle, Director of the Division of Market Oversight; therefore, the letter I am requesting would be dated sometime before October 29th, 2014. It should also be from Neil Quigley and would include the name of Vincent McGonagle.	Granted in Full
21-00012-FOIA	10/27/2020	the Commodity Futures Trading Commission President's Budget and Performance Plan prepared for the Committee on Appropriations for fiscal years 2002, 2003, 2004, 2005, 2006, 2007, 2008, 2009, and 2010	Granted in Full - Public Records
21-00013-FOIA	10/27/2020	On June 25, 2019, the CFTC settled charges against Merrill Lynch Commodities, Inc. ("MLCI") for spoofing, manipulation and attempted manipulation. I request the case file including the data used as evidence. https://www.cftc.gov/PressRoom/PressReleases/7946-19	Other Reasons - Fee-related reason
21-00014-FOIA	10/27/2020	I request the case file and supporting data used as evidence against Tower Research Capital LLC ("Tower")	Other Reasons - Fee-related reason
21-00015-FOIA	10/27/2020	any consumer complaints filed with the CFTC regarding Safeguard Metals, Lear Capital, American Hartford Gold Group (aka Hartford Gold Group), Bishop Gold Group or Goldco since 1/1/2018. I understand that at least one complaint has been filed regarding Safeguard Metals.	Granted/Denied in Part
21-00016-FOIA	10/27/2020	I request the case file and supporting data used as evidence against Hard Eight Futures, LLC and Chernomzav whom the CFTC settled with on September 30, 2019	Other Reasons - Fee-related reason
21-00017-FOIA	11/6/2020	Any and all correspondence, including but not limited to electronic communications since December 2019: Between the CFTC and Sen. Kelly Loeffler or the CFTC and the Office of Sen. Kelly Loeffler, regarding the following topics or keywords: Mortgage-backed securities; Intercontinental Exchange (ICE) or ICE Clear Credit or Bakkt; Dodd-Frank (PL 111-203); CARES Act (PL 116-136); COVID-19 or coronavirus; Cryptocurrency or bitcoin; "financial market utility"; or, SIFMU. If any records are withheld or redacted, I request that you state the specific legal and factual grounds for withholding any documents or portions of documents, please identify each document that falls with scope of this request but is withheld from release. If requested documents are located in another installation or bureau, I request that you please refer this request or any relevant portion of this request to the appropriate installation or bureau. To the extent that the respondent records are available in electronic format, I would prefer to receive the information via email, particularly if providing the information reduces the time or expense involved. Otherwise, I will expect to receive the information in paper form. (Date Range for Record Search: From 12/1/2019 To 11/6/2020)	Other Reasons - No records
21-00018-FOIA	11/2/2020	I am requesting a copy of any emails sent between Citadel staff (email domains: @citadel.com and @citadelsecurities.com) and CFTC staff (email domain: @cftc.gov) over the past 7 years.	Granted/Denied in Part
21-00019-FOIA	11/13/2020	The registrant replied positively to Question J under the Financial Disclosures section. Would it be possible to provide more information on this disclosure?	Granted in Full
21-00020-FOIA	11/16/2020	I would like to request all relevant information regarding Case No. 16-cv-32-M (W.D. Okla.) One of the claimants in that case was (b)(6) (b)(6) I would like to have more information on the nature of this legal action.	Granted in Full

21-00021-FOIA	11/20/2020	A copy of all detailed statement of facts, prosecution documents, and agreements of the following market price manipulation cases to be provided to me. The details of their misconduct, especially, when, how, and what consequences are the key information I am looking for: 1. JP Morgan Chase Manipulation of U.S. Treasuries Markets and Commodity Markets, both at cash markets and future markets. (As shown https://www.cftc.gov/PressRoom/PressReleases/8260-20) 2. Citigroup manipulation of U.S. treasury markets, both at cash markets and future markets. 3. Deutsche Bank manipulation of U.S. treasury markets and commodity markets. (As shown https://www.cftc.gov/PressRoom/PressReleases/pr7682-18) 4. All other cases related to price manipulation in treasury bonds, bills, notes, and futures markets. 5. Merrill Lynch Commodities Inc Manipulation of U.S. Commodity Markets 6. The Bank of Nova Scotia Manipulation of U.S. Commodities Prices 7. All other cases related to price manipulation in commodity markets. 8. Jiongsheng Zhao, of Australia, with spoofing and engaging in a manipulative and deceptive scheme in the E-mini S&P 500 futures contract market. I am Finance Scholar at University of Southern California, and this request is made for a scholarly purpose and not for a commercial use. Disclosure of the requested information to me is in the public interest because it is likely to contribute significantly to our understanding	Granted in Full
21-00022-FOIA	11/24/2020	a copy of any emails sent between Dorothy DeWitt or Meghan Tente or Nancy Markowitz or Mel Gunewardena and Citadel staff (email domains: @citadel.com & @citadelsecurities.com) over the past 5 years.	Other Reasons - Request withdrawn
21-00023-FOIA	11/23/2020	1. All records maintained or created by the Commodity Futures Trading Commission related to active or closed investigations into dealers of precious metals. 2. All customer complaints received by the Commodity Futures Trading Commission related to any dealer of precious metals. 3. Copies of all subpoenas or requests for information issued by the Commodity Futures Trading Commission to any dealer of precious metals. 4. Copies of all subpoenas or requests for information issued by the Commodity Futures Trading Commission to any self-directed IRA administrator related to precious metals. 5. All communications between a representative of the Commodity Futures Trading Commission and any self-directed IRA custodian or administrator related to precious metals. 6. All communications regarding policy related to regulation of precious metals dealers by the Commodity	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. Berkowitz Keywords: - "climate change" - "global warming" - "extreme weather events" - "greenhouse gas" -	Granted/Denied in Part
21-00025-FOIA	11/24/2020	Please produce all documents including any writings, drawings, graphs, charts, photographs, records, communications, letters, correspondence, e-mails and attachments thereto, reports, samples, video or audio recordings, pleadings, affidavits, declarations, motions, memoranda, briefs, exhibits, answers to interrogatories, responses to requests for admissions, transcripts, oral testimony, summaries, notes, abstracts, databases, version control systems, source code and object code, data including derivatives and interpretations, and/or any other document that is derived from or in connection with an investigation, complaint, or administrative or judicial proceeding, ongoing or completed concerning the lawsuit: Commodity Futures Trading Comm'n v. Tallinex, No. 2:17-cv-00483-DN (D. Utah July 9, 2018); or, any of the persons or entities below or their registered agents, principals, or related entities: General Trader Fulfillment, LLC; Try Day Trading, LLC; Tallinex; Coinexx; Capital City Markets Freedom Wealth Group; Kevin Jones; Ryan Van Dorn	Other Reasons - Request withdrawn
21-00026-FOIA	11/25/2020	A copy of the documents which bear Bates number ICUS 11.01.19 (1) - 000001 to ICUS 11.01.19 (1) - 000006. Referenced in this confidentiality request: https://www.cftc.gov/sites/default/files/filings/prorules/19/11/rule110419icrusdco002.pdf	Denied in Full
21-00027-FOIA	11/25/2020	A copy of any emails sent between CFTC staff and Citadel staff (email domains: @citadel.com & @citadelsecurities.com) over the past 2 years. Include any attachments from the responsive emails. Please consult with your IT staff to conduct an agency wide email search. A 2018 audit conducted by the National Security Archive found that the CFTC was able to conduct this type of agency wide email search. See https://nsarchive.gwu.edu/news-fisaudit/fis/2018-07-09/agency-wide-email-search-report-fis-audit-report	Other Reasons - Request withdrawn
21-00028-FOIA	11/30/2020	I am requesting a copy of all emails sent or received by Heath P. Tarbert on September 29 and 28th, 2020. I also request any emails sent or received by Heath P. Tarbert that contain the non-case sensitive string "Citadel" over the past 4 years.	Granted/Denied in Part
21-00029-FOIA	11/30/2020	In the 451415MRAU - most recent Annual Update for NB Alternatives Advisers LLC, there is a positive answer for one of the questions: "Question E: In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), has the firm ever been found, after a hearing or default or as the result of a settlement, consent decree or other agreement, to: have violated any provision of any investment-related statute or regulation thereunder; or 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, counseled, commanded, induced or procured such violation by any other person; or have failed to supervise another person's activities under any investment-related statute or regulation thereunder? Yes." Please, would you be able to provide me with information as to what exactly this is about?	Granted in Full
21-00030-FOIA	11/30/2020	Records related to complaints that any individual or entity has submitted about Tradestation Securities, Inc. (NFA ID 0307871) for the period of 07/21/2010-11/25/2020 and any resulting investigations by the CFTC stemming from those complaints over the specified period of time	Granted/Denied in Part
21-00031-FOIA	12/2/2020	Exhibit B: Deliverable Supply Analysis and Exhibit D: Trucking Index Methodology to certification letter of Nodal Exchange for National Van Freight Rate Futures dated March 22, 2019 and stored at https://www.cftc.gov/sites/default/files/filings/ptc/19/03/ptc032219nodaldcm041.pdf	Denied in Full
21-00032-FOIA	12/3/2020	A copy of the meeting minutes for the Monday, September 28th 2020 meeting/call between Chairman Tarbert and Stephen Berger (citadel). I additionally request a copy of the meeting/call minutes for the March 19th 2020 meeting between Chairman Tarbert and Kenneth Griffin (citadel).	Other Reasons - No records
21-00033-FOIA	12/3/2020	I am requesting a copy of any emails sent between CFTC staff and Renaissance Technologies staff (email domain: @rentec.com) over the past 10 years. Please consult with IT staff to conduct a search.	Granted/Denied in Part
21-00034-FOIA	12/3/2020	Job Descriptions and Position Descriptions for all levels of Investigators and Futures Trading Specialists from 2009 to the present.	Granted in Full
21-00035-FOIA	12/3/2020	Any communications (including emails and other correspondence) between U.S. Sen. Kelly Loeffler and the CFTC on or after Dec. 3, 2019. This would include requests for information about funding for the agency and the extent of its rule-making authority and comments about proposed rules 85 FR 11596 regarding Position Limits for Derivatives, 84 FR 21044 regarding Certain Swap Data Repository and Data Reporting Requirements, and 85 FR 21516 regarding Real-Time Public Reporting Requirements. (Date Range for Record Search: From 12/3/2019 To 12/3/2020)	Other Reasons - No records
21-00036-FOIA	12/3/2020	Copy of all bids received for CFTC Consolidation Project at 77 W Jackson Blvd. Chicago, IL 60604	Other Reasons - No records

12-00135-FOIA	7/19/2012	Peregrine Financial Corp report filed with the CFTC following its enforcement action against the firm on September 7, 2000	Granted/Denied in Part
12-00136-FOIA	7/19/2012	In the Matter of Barclays PLC, Barclays Bank PLC and Barclays Capital, Inc.	Denied in Full
12-00137-FOIA	8/1/2012	Correspondence to Senator Tim Johnson	Granted in Full
12-00138-FOIA	7/27/2012	CFTC Enforcement Action Involving Peregrine Financial Group, Inc.	Granted/Denied in Part
17-00011-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00012-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00013-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00014-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00018-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00019-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00020-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00021-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00022-FPA	8/28/2017	Requesting all records, files, both hard and electronic copies, all emails notes written or typed, all reports, schedules, statements, securities, CUSIP numbers, symbols, and any documentation related to (b)(6) that your agency have maintained records in various databases, records, indexes, or lists in its possession.	Other Reasons - No records
17-00146-FOIA	9/18/2017	Copies of: (1) all emails between CFTC spokeswomen Erica Richardson and Donna Faulk-White from September 13, 2017 to September 14, 2017. Please include emails from both their government email accounts and work-related emails on any personal accounts. (2) all emails between agency spokeswoman Erica Richardson and agency official Michael Gill from September 13, 2017 to September 18, 2017. Please include emails from both their government email accounts and work-related emails on any personal accounts. (3) all emails between agency spokeswoman Donna Faulk-White and agency official Michael Gill from September 13, 2017 to September 14, 2017. Please include emails from both their government email accounts and work-related emails on any personal accounts. (4) all emails between agency officials Michael Gill and Christopher Giancarlo from September 13, 2017 to September 18, 2017. Please include emails from both their government email accounts and work-related emails on any personal accounts. (5) all emails between agency officials Erica Richardson and Christopher Giancarlo from September 13, 2017 to September 18, 2017. Please include emails from both their government email accounts and work-related emails on any personal accounts. (6) all emails sent to or received by Erica Richardson, Christopher Giancarlo or Michael Gill from September 13, 2017 to September 18, 2017 that include any of the following terms: Futurechi, Crowell, ProPublica, pro publica or LedgerX. Please include emails from both their government email accounts and work-related emails on any personal accounts. (7) all emails between agency official Michael Gill or CFTC spokeswoman Erica Richardson (both from their government email accounts and work-related emails on any personal accounts) and Crowell employee Richard Holbrook (either at his work email address rholbrook@crowell.com or any personal email address) from September 13, 2017 to September 18, 2017 (8) all emails between agency official Michael Gill or CFTC spokeswoman Erica Richardson (both from their government email accounts and work-related emails on any personal accounts) and anyone with the email domain	Granted/Denied in Part
17-00147-FOIA	9/18/2017	Copies of all emails between agency spokeswoman Erica Richardson or agency official Michael Gill and CFTC general counsel Daniel J. Davis from September 13, 2017 to September 18, 2017. Please include emails from both their government email accounts and work-related emails on any personal accounts. (Date Range for Record Search: From 09/13/2017 To 09/18/2017)	Granted/Denied in Part
17-00148-FOIA	9/18/2017	Copies of all emails between agency official Michael Gill and anyone with the email domain @crowell.com This request spans from October 1, 2016 to January 19, 2017 and from August 1, 2017 to the date this FOIA is processed.	Granted/Denied in Part
19-00048-FOIA	3/14/2019	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)	Granted in Full
19-00049-FOIA	3/15/2019	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)	Other Reasons - Duplicate Request
19-00050-FOIA	3/18/2019	Requesting any email communications between the CFTC and Gain Capital Holdings, Inc.	Other Reasons - Request withdrawn
22-00001-FOIA	10/1/2021	To clarify I would like the records of all scam reports that have been made to the CFTC that relate specifically to foreign exchange (forex) scams. If available, I would like these records for each year between 2016 and 2020. If records are also kept that show the amount that has been lost to such scams, I would also like these records too (again for 2016-2020)	Other Reasons - Records not reasonably described
22-00002-FOIA	10/4/2021	Investigation files relating to Cumberland DRW LLC, a cryptocurrency trading firm that is part of DRW Holdings Inc.	Other Reasons - No records

22-00003-FOIA	10/6/2021	I request a copy of the most recent CFTC Enterprise Risk Assessment, Enterprise Risk Profile, and/or Enterprise Risk Report. The Exact name for the risk assessment may vary from the names shown above. (Date Range for Record Search: From 1/1/2019 To 10/5/2021)	Granted/Denied in Part
22-00004-FOIA	10/6/2021	I request a copy of the investigation letter sent by the CFTC Office of the Inspector General to the Senate during 2008. The letter was entitled "Report of Investigation."	Other Reasons - No records
22-00005-FOIA	10/6/2021	I hereby request a copy of each email containing the word (b)(6) OR the misspelled word (b)(6) in the email account of Judith Ringle covering the time period of January 1, 2015 through the present.	Granted/Denied in Part
22-00006-FOIA	10/6/2021	Can you please send me copies of the newest version of the notices of the existence + character of each of it's system of records? See 17 CFT 146.11 published in Federal Reg.	Other Reasons - Fee-related reason
22-00007-FOIA	10/7/2021	I request a list of all Requests for Confidential Treatment made by companies to the CFTC over the past 20 years. Please provide responsive records in Excel format if possible.	Granted in Full
22-00008-FOIA	2/8/2022	I request a copy of all emails sent or received by LabCFTC@cftc.gov since the creation of the email account.	Other Reasons - Records not reasonably described
22-00009-FOIA	10/7/2021	I request a list of all requests for meetings with LabCFTC since the beginning of the program. See https://forms.cftc.gov/forms/LabCFTC.aspx	Other Reasons - Not a proper FOIA request for some other reason
22-00010-FOIA	10/7/2021	I request a copy of any emails sent between CFTC staff and anybody with the email domain @cargometrics.com over the past 10 years.	Other Reasons - Records not reasonably described
22-00011-FOIA	10/7/2021	I request a copy of all emails sent or received over the past 4 years by Brian A. Hunt, a member of the division of enforcement, that include the non-case sensitive string "carroll"	Other Reasons - Records not reasonably described
22-00012-FOIA	10/7/2021	I request a copy of all emails sent or received by cdo@cftc.gov since the creation of the email account.	Other Reasons - Records not reasonably described
22-00013-FOIA	2/8/2022	I request a copy of all emails sent or received by marketreports@cftc.gov since the creation of the email account.	Other Reasons - Records not reasonably described
22-00014-FOIA	10/7/2021	I request a copy of all the CFTC server logs for websites that match the following regex query: https://www.cftc.gov/dea/ *	Granted in Full
22-00015-FOIA	10/12/2021	I request a copy of all emails between large traders and the CFTC's data and technology staff relating to testing and implementing any information technology standards or systems necessary to accommodate compliance with CFTC Large trader reporting rules between 2010 and 2020. See for more information: https://content.next.westlaw.com/2-551-5446?IRTS=20210209080914353&transitionType=Default&contextData=%28sc.Default%29	Other Reasons - Records not reasonably described
22-00016-FOIA	10/12/2021	I request a copy of all briefing materials prepared by the Commission as part of their briefings to the Permanent Senate Subcommittee on Investigations relating to the Abuse of Structured Financial products. See https://www.hsgac.senate.gov/imo/media/doc/REPORT-Abuse%20of%20Structured%20Financial%20Products%20(Basket%20Options)%20(7-22-14%20updated%209-30-14).pdf	Other Reasons - No records
22-00017-FOIA	10/18/2021	I request a copy of all Closure Recommendation Memorandum created by the CFTC OIG over the past 10 years.	Other Reasons - Fee-related reason
22-00018-FOIA	10/19/2021	A list including name, rank, and email address of any Emergency Medical Technician, Paramedic, Military Corpsman, Military Medics, or other first responders.	Other Reasons - No records
21-00044-FOIA	1/4/2021	A digital/electronic copy of the transition briefing document(s) (late 2020) prepared by CFTC for the incoming Biden Administration.	Granted/Denied in Part
21-00045-FOIA	1/6/2021	1. The name of the last 2 most recent speakers, facilitators, or trainers for Dr. Martin Luther King Jr. observations and their fee received. 2. The name of the last 2 most recent speakers, facilitators, or trainers for Black History Month observations and their fee received. 3. Two email messages from the committee, agency point of contact, organizer, and/or program manager in charge of black affairs to the speaker, facilitator, or trainer for the 2 most recent Dr. Martin Luther King Jr. observances. 4. Two email messages from the committee, agency point of contact, organizer, and/or program manager in charge of black affairs to the speaker, facilitator, or trainer for the 2 most recent Black History Month observances. 5. This is for the headquarters	Granted/Denied in Part
21-00046-FOIA	1/7/2021	All transcripts of the Examinations under Oath taken of Stephen Strohmmer and Igor Oystacher, including but not limited to, those taken on December 12, 2012 (Strohmer), September 26, 2013 (Ovstacher) and November 12, 2013 (Ovstacher.)	Other Reasons - Not a proper FOIA request for some other reason
21-00047-FOIA	1/11/2021	Under the Freedom of Information Act, 5 USC Section 552, I am requesting information or records regarding the number of investigations that the CFTC has opened into violations of the Commodity Exchange Act carried out through foreign corrupt practices for each of the years 2017, 2018, 2019 and 2020 (the type of conduct referenced in this speech by former CFTC enforcement director James McDonald: https://www.cftc.gov/PressRoom/SpeechesTestimony/opamcdonald2). Likewise, I am also requesting the number of foreign corrupt practices investigations denied for each of these years, and the total number of cases for each of these years as of 1 January 2021.	Other Reasons - No records
21-00048-FOIA	1/14/2021	Copies of the NFA reference documents submitted to the CFTFC in connection with the Swap Dealer Model Approval Program. The specific documents I am looking for are listed in footnote 11 of the CFTC's approval letter (https://www.cftc.gov/csl/21-03/download) and consist of: First Day Request Letter ("FDL"); Model Development Questionnaire ("Model Dev."); Model Risk Management Questionnaire ("Model Risk"); VaR Risk Questionnaire ("VaR"); Stressed VaR Risk Questionnaire ("SVaR"); Market Risk Questionnaire ("Market"); Credit Risk Questionnaire ("Credit"); Incremental Risk Questionnaire ("Incremental"); Comprehensive Risk Questionnaire ("Comprehensive"); Specific Risk Questionnaire ("Specific").	Denied in Full
21-00049-FOIA	1/14/2021	The full files on the following reparation cases: (b)(6) was the Respondent in these 2 case.	Granted/Denied in Part
21-00050-FOIA	1/15/2021	Pursuant to the Freedom of Information Act, 5 U.S.C. § 552, please provide me: • In the case Cr. No. 20-539 (ENV) which is USA v. Vitol Inc. at the District Court Eastern District of New York in December 2016, the Commodity Futures Trading Commission (CFTC) and the Department of Justice (DOJ) reached a Deferred Prosecution Agreement with the company Vitol on a Foreign Corrupt Practices Act (FCPA) case, I seek the documents giving evidence in the case. In particular, I seek documents giving evidence on the Mexico scheme described on the DPA released on December, 3 2020 from https://www.cftc.gov/PressRoom/SpeechesTestimony/opamcdonald2 . This request is described in the comment case 0276-20 on Thursday, Dec 3, 2020.	Other Reasons - Not an agency record
21-00051-FOIA	1/19/2021	I would like to obtain all documents for Comment File Number 92--004, as listed in this link: https://www.cftc.gov/foia/commentarchive2/foi92--004_1.htm	Other Reasons - Request withdrawn

21-00052-FOIA	1/19/2021	Transcripts of conversations and communication that were collected as part of (1) Foreign Exchange Benchmark Cases, settled 2014-2015 (2) LIBOR Benchmark Cases, settled 2012-2015, and (3) ISDAFIX Benchmark Cases, settled 2015-2017. Examples of these communications have been disclosed on Press Release Number 7527-17, "Examples of Misconduct in Private Chat Rooms" dated May 20, 2015, and an undated document of the same name released by the CFTC Office of Public Affairs. I will admittedly ask for too much as I am unsure what is available, so would prioritize complete communication disclosure so there is not bias introduced by incomplete files or transcripts. The relevant cases that may included these transcripts are: Foreign Exchange Benchmark Cases In re Barclays Bank PLC (May 20, 2015) (\$400 million penalty) (CFTC Press Release 7181-15) In re Citibank, N.A. (November 11, 2014) (\$310 million penalty) (CFTC Press Release 7056-14) In re The Royal Bank of Scotland plc (November 11, 2014) (\$290 million penalty) (CFTC Press Release 7056-14) In re UBS AG (November 11, 2014) (\$290 million penalty) (CFTC Press Release 7056-14) In re HSBC Bank plc (November 11, 2014) (\$275 million penalty) (CFTC Press Release 7056-14) LIBOR Benchmark Cases In re Citibank, N.A., and affiliates (May 25, 2016) (\$175 million penalty) (CFTC Press Release 7372-16) In re Deutsche Bank AG (April 23, 2015) (\$800 million penalty) (CFTC Press Release 7159-15) In re UBS AG and UBS Securities Japan Co., Ltd. (December 19, 2012) (\$700 million penalty) (CFTC Press Release 6472-12) In re Cooperatieve Centrale Raiffeisen-Boerenleenbank B.A. (Rabobank) (October 29, 2013) (\$475 million penalty) (CFTC Press Release 6752-13) In re The Royal Bank of Scotland plc and RBS Securities Japan Limited (February 6, 2013) (\$325 million penalty) (CFTC Press Release 6510-13) In re Barclays PLC, Barclays Bank PLC, and Barclays Capital Inc. (June 27, 2012) (\$200 million penalty) (CFTC Press Release 6289-12) In re Lloyds Banking Group plc and Lloyds Bank plc (July 28, 2014) (\$105 million penalty) (CFTC Press Release 6966-14) In re ICAP Europe Limited (September 25, 2013) (\$65 million penalty) (CFTC Press Release 6708-13) In re RP Martin Holdings Limited and Martin Brokers (UK) Ltd. (May 15, 2014) (\$1.2 million penalty) (CFTC Press Release 6930-14) ISDAFIX Benchmark Cases: In re The Royal Bank of Scotland plc (February 3, 2017) (\$85 million penalty) In re The Goldman Sachs Group, Inc., and Goldman, Sachs & Co., N.A., (December 21, 2016) (\$120 million penalty) (CFTC Press Release 7505-16) In re Citibank, N.A., (May 25, 2016) (\$250 million penalty) (CFTC Press Release 7371-16) In re Barclays PLC, Barclays Bank PLC, and Barclays Capital Inc. (May 20, 2015) (\$115 million penalty) (CFTC Press Release 7180-	Denied in Full
21-00053-FOIA	1/21/2021	I request a copy of each email in the email accounts of each person in the CFTC Office of Legislative Affairs which contains ANY of the following words: CAPITAL, CAPITOL, POLICE, ATTACK, MOB, VIOLENCE, or TRUMP. I limit this request to emails on January 6 and January 7th. Please include TO, FROM and CC emails. You may omit compilations of news clippings. I am researching the violent and deadly attack on our Nation's Capitol and on Congress and its impact. This is a non-commercial individual request.	Other Reasons - No records
21-00054-FOIA	1/22/2021	Email received by the Acting Chairman from January 21, 2021, to the present, from any individual using the domain email address "@who.eop.gov".	Other Reasons - No records
21-00055-FOIA	1/27/2021	I am searching for the Commodity Futures Trading Commission's contingency plan documentation for a lapse in government funding from 2017-2020. Specifically I am looking for the number of total employees compared to the number exempt with the following subcategories of exempt employees from a lapse of appropriations: not compensated with annual appropriations, perform activities authorized by law, perform activities implied by law, discharge presidential duties, protect life and property.	Granted in Full
21-00056-FOIA	1/28/2021	Details of the regulatory disclosure that drove the "Yes" answer to Question E?	Granted in Full
21-00057-FOIA	1/29/2021	Most recent 8R only.	Denied in Full
21-00058-FOIA	2/5/2021	I hereby request the production of the following documents: • All records pertaining to In the Matter of: John Edmonds, CFTC Docket No. 19-16, dated July 25, 2019; • All records pertaining to In the Matter of: Christian Trunz, CFTC Docket No. 19-26, dated September 16, 2019; • All records pertaining to In the Matter of: JPMorgan Chase & Co., JPMorgan Chase Bank, N.A., and J.P. Morgan Securities LLC, CFTC Docket No. 20-69, dated September 29, 2020; and • All records previously released by the CFTC relating to JP Morgan for the time period of January 1, 2008 to the present.	Granted/Denied in Part
21-00059-FOIA	2/9/2021	All documents relating to In the Matter of Citibank, N.A., CFTC Docket No. 15 - 03, which resulted in submission of an Offer of Settlement and Consent Order (entered November 11, 2014). This request includes, but is not limited to submissions, letters, white papers, presentation materials, notes of meetings/telephone calls/videoconferences, any other communications between the CFTC and Citibank and/or its counsel.	Other Reasons - Request withdrawn
21-00060-FOIA	2/9/2021	1. All documents released in response to any FOIA request dated January 1, 2010 to present that requested documents relating to: A - I (see request description). 2. All documents and/or data produced to any of the following on or about January 23, 2020: Ranchers Cattlemen Action Legal Fund United Stockgrowers of America ("R-CALF USA"), Farmers Educational and Cooperative Union of America ("NFU"), Weinreis Brothers, Charles "Chuck" Weinreis, Eric Nelson, James "Jim" Jensen, Lucky 7 Angus, Richard "Rick" Chambers as trustee of the Richard C. Chambers Living Trust, and/or Steven Graham. 3. All documents submitted to the CFTC on or after January 1, 2015 by or on behalf of Ranchers Cattlemen Action Legal Fund United Stockgrowers of America ("RCALF USA"), Farmers Educational and Cooperative Union of America ("NFU"), Weinreis Brothers, Charles "Chuck" Weinreis, Eric Nelson, James "Jim" Jensen, Lucky 7 Angus, Richard "Rick" Chambers as trustee of the Richard C. Chambers Living Trust, and/or Steven Graham, including but not limited to any "tips" or "complaints," relating to: A - B (see request description). 4. All documents relating to a January 5, 2018 whistleblower complaint filed with the CFTC alleging manipulation of the live cattle futures contracts market in January 2018. 5. All documents prepared or maintained by the CFTC dated January 1, 2015 to present that discuss, analyze, study, or refer to any effects that trading by managed money, and/or large, aggressive orders from manual traders, have had or are having on any markets for live cattle futures and options.	Granted/Denied in Part
21-00061-FOIA	2/12/2021	All information on myself	Other Reasons - Records not reasonably described
21-00062-FOIA	2/16/2021	REPORTS REGARDING POLITICAL APPOINTEE BURROWING. I am requesting releasable copies of reports regarding political appointees whom transferred over to non-political permanent positions within this agency since as early November 1, 2016.	Granted in Full

21-00063-FOIA	2/17/2021	For any employee who, between June 1, 2020 and January 31, 2021, entered into a nonpolitical position* at the Commodity Futures Trading Commission as an attorney or economist at CT-13 or above (including those who have accepted an offer of employment within the given time period): 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, email 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.	Granted/Denied in Part
21-00064-FOIA	2/18/2021	Copies of the documents listed below related to the following natural gas companies (hereinafter, "the Gas Companies"): Xcel Energy Inc.; Northern States Power Company; Dynegy Illinois Inc. (f/k/a Dynegy, Inc.); DMT G.P. L.L.C. (successor to DMT Holdings, L.P.); Dynegy GP Inc.; Dynegy Marketing and Trade; E Prime Inc.; The Williams Companies, Inc.; Williams Power Company, Inc. (f/k/a Williams Energy Marketing & Trading); and Williams Merchant Services Company, Inc. This request is limited to any documents related to one or more of the Gas Companies' activities that occurred during the time period of January 1, 2000 through October 31, 2002 (the "Relevant Period"), unless otherwise stated. Specifically, we request the following documents: 1. All communications, including emails, telephone logs, correspondence, notes, meetings, and/or memoranda between CFTC employees, officials, agents, and/or contractors and the Gas Companies relating in any way to one or more of the Gas Companies' activities during the Relevant Period. 2. All internal communications, including emails, telephone logs, correspondence, notes, meetings, and/or memoranda among CFTC employees, officials, agents, and/or contractors relating in any way to one or more of the Gas Companies' activities during the Relevant Period. 3. All communications, including emails, telephone logs, correspondence, notes, meetings, and/or memoranda between CFTC employees, officials, agents, and/or contractors and any and all other government departments, agencies, and/or bureaus relating in any way to one or more of the Gas Companies' activities during the Relevant Period. This request seeks all documents within its scope that are in your possession and all such documents contained within the files and records of the CFTC, including, but not limited to: memoranda, internal communications, studies, findings, reports, investigation notes, requests, applications, files, inquiries, surveys, witness surveys, telephone logs, interview notes, journals, referrals to other government	Other Reasons - Request withdrawn
21-00065-FOIA	2/18/2021	copies of the documents listed below related to the following natural gas companies (hereinafter, "the Gas Companies"): AEP Energy Services, Inc.; American Electric Power Company, Inc.; Cantora Gas Company, LLC (f/k/a CMS Field Services, Inc.); Centerpoint Energy Services, Inc. (f/k/a Reliant Energy Retail, Inc.); CMS Energy Corporation (a/k/a CMS Energy); CMS Energy Resource Management Company (f/k/a CMS Marketing Services & Trading Company); Coral Energy Resources, L.P.; Duke Energy Carolinas, LLC (f/k/a Duke Energy Corporation); Duke Energy Trading and Marketing, L.L.C.; El Paso Marketing, L.P. (f/k/a El Paso Merchant Energy, L.P.); Oneok Energy Services Company, L.P. (f/k/a Oneok Energy Marketing and Trading Company, L.P.); Oneok, Inc.; Reliant Energy, Inc.; (f/k/a Reliant Resources, Inc.); and Reliant Energy Services, Inc. This request is limited to any documents related to one or more of the Gas Companies' activities that occurred during the time period of January 1, 2000 through October 31, 2002 (the "Relevant Period"), unless otherwise stated. Specifically, we request the following documents: 1. All communications, including emails, telephone logs, correspondence, notes, meetings, and/or memoranda between CFTC employees, officials, agents, and/or contractors and the Gas Companies relating in any way to one or more of the Gas Companies' activities during the Relevant Period. 2. All internal communications, including emails, telephone logs, correspondence, notes, meetings, and/or memoranda among CFTC employees, officials, agents, and/or contractors relating in any way to one or more of the Gas Companies' activities during the Relevant Period. 3. All communications, including emails, telephone logs, correspondence, notes, meetings, and/or memoranda between CFTC employees, officials, agents, and/or contractors and any and all other government departments, agencies, and/or bureaus relating in any way to one or more of the Gas Companies' activities during the Relevant Period. This request seeks all documents within its scope that are in your possession and all such documents contained within the files and records of the CFTC, including, but not limited to: memoranda, internal communications, studies, findings, reports, investigation notes, requests, applications, files, inquiries, surveys, witness surveys, telephone logs, interview notes, journals, referrals to other government agencies, correspondence, emails, and other communications or	Other Reasons - Request withdrawn
21-00066-FOIA	2/18/2021	All documentary evidence maintained by the CFTC related to (b)(6) cooperation with the ICAP investigation, i.e., copies of statements he provided, copies of deposition transcripts, correspondence with (b)(6) counsel, etc. Also, should the CFTC have investigated (b)(6) personally for his actions as an ICAP broker, all documentation concerning any such investigation.	Denied in Full
21-00067-FOIA	2/19/2021	I would like to request copies of the resumes including application responses and ratings of those applicants including criteria (minus any PII data) of those applicants selected for the position of Budget Analyst under vacancy announcement number CFTC-OFD-2020-0015.	Granted/Denied in Part
21-00068-FOIA	2/19/2021	KalshiEX LLC ("Kalshi") has recently been approved for designation as a contract market, as described in this order: https://www.cftc.gov/sites/default/files/filings/documents/2020/orgkexkalshidesignation201103.pdf I would like to see Kalshi's original application, any amended versions, any supporting materials, and any correspondence between Kalshi and the CFTC related to this matter.	Granted/Denied in Part
21-00069-FOIA	2/19/2021	1) All documentation that shows whether \$920 million in fines and restitution cited in this press release has been paid by JP Morgan - https://www.cftc.gov/PressRoom/PressReleases/8260-20 . Documentation would include, but not be limited to how much has been paid and date of each payment and type of payment (i.e. fine, restitution, etc). 2) All documentation that shows whether \$127.4 million in fines and restitution cited in this press release has been paid by Bank of Nova Scotia - https://www.cftc.gov/PressRoom/PressReleases/8220-20 . Documentation would include, but not be limited to how much has been paid and date of each payment and type of payment (i.e. fine, restitution, etc).	Granted/Denied in Part
21-00070-FOIA	2/22/2021	Any e-mails, including attachments, to or from the commissioners from January 1, 2018 through present that include the below terms: 1. "Elon Musk" 2. "Chamath" 3. "Tether" 4. "USDT"	Granted/Denied in Part
21-00071-FOIA	2/26/2021	All whistleblower complaints regarding actual or perceived political interference, improper influence from political appointees, or White House influence or interference in agency hiring processes for career officials submitted to the Commodity Futures Trading Commission Office of Inspector General, personnel thereof, and any agency deputy ethics counselors and ethics coordinators. Please provide responsive records from January 20, 2017 through the date of the search.	Other Reasons - No records

21-00072-FOIA	2/26/2021	All questions, complaints, or concerns regarding actual or perceived political interference, improper influence from political appointees, or White House influence or interference in agency hiring processes for career officials submitted to the Commodity Futures Trading Commission Ethics Division, personnel thereof, and any agency deputy ethics counselors and ethics coordinators. Please provide responsive records from January 20, 2017 through the date of the search.	Other Reasons - Request withdrawn
21-00073-FOIA	2/26/2021	Copies of the newest version of the Notices of the Existence and Character of each of it's system of records. Sec 17 C.F.R. 146.11. Published in Federal Reg. [Also seeking information on how to access information in the Public Reading Room without going to the office].	Granted in Full
21-00074-FOIA	1/4/2021	Given the fact there appears a "leak" in the CFTC whistleblower program, specifically to out confidentiality of information submitted there under the whistleblower program I request you provide the following: 1. All information as it relates to the company you are employed by as a "contractor" for the CFTC 2. All employment records of purported attorney(b)(6) 3. What regulatory rules former attorneys of the CFTC do not need to follow for the private companies they are now employed by like purported Louisiana/Texas Attorney(b)(6) 4. All information concerning (b)(6) (b)(6) who lays claim to a special status with the CFTC and seat on a board of the CFTC 5. All disciplinary records of both(b)(6) (b)(6) (we not(b)(6) is no longer registered with FINRA ... but still claims a special CFTC status) 6. All safety handling procedures of	Granted/Denied in Part
21-00075-FOIA	3/3/2021	Information on the NFA Form for Semper Capital Management LP (NFA ID: 0422976) outlines a regulatory disclosure.	Granted in Full
21-00076-FOIA	3/11/2021	I am requesting any and all information on International Markets Live Inc., their CEO Christopher Terry, and their CFO Isis De La Torre, from 12/01/2020 to present.	Other Reasons - Records not reasonably described
21-00077-FOIA	3/15/2021	I would like to study the impact that the introduction of commodities futures and options had on firm exposed to that commodity in the 2000-2020 period. I would like a list of commodity name, commodity code, date of introduction, contract market name and written date from the Contract Market table in ISS for both options and futures	Granted in Full
21-00078-FOIA	3/17/2021	The CFTC interview of Michael Nowak, formerly of JPMorgan, on August 3 and 4, 2010, taken as part of the CFTC's investigation from 2008 to 2013 into alleged manipulation of silver prices; and the CFTC interview of Christopher Jordan, formerly of JPMorgan, on September 15 and 16, 2010, taken as part of the CFTC's investigation from 2008 to 2013 into alleged manipulation of silver prices.	Granted/Denied in Part
21-00079-FOIA	3/17/2021	Information regarding Andre Guilherme Brandao	Denied in Full
21-00080-FOIA	3/17/2021	1. Unredacted copy of all "corporate character's" for your agency that been filed and/or recorded with the State and/or the United States, from the founding of your agency to this present day. 2. Unredacted copy of all "assumed name registrations" for your agency that have been filed and/or recorded with the State and/or the United States, from the founding of your agency to this present day. 3. Unredacted copy of your agency's "public hazard insurance policy" along with an unredacted copy of all of your agency's "public hazard bonds."	Other Reasons - No records
21-00081-FOIA	3/17/2021	1. All registrations recorded and on file under the data-base known as "system for award management," which clearly identifies each and all of the following: a. entity's full name as registered; b. entity's complete mailing address; c. entity's "DUNS" number or transaction number for records; d. entity's "cage-code"; e. entity's status; f. entity's expiration date; g. entity's purpose of registration; h. name and contact information of last person who updated registration; i. name and contact information of entity's main point of contact; j. entity's recognition of being what type of owned business; k. exact identification and purpose of entity's use of all "PCS codes," "NAICS Codes," and "primary codes" as listed in entity's "SAM" registration and data-	Other Reasons - Not an agency record
21-00082-FOIA	3/18/2021	1. All Documents concerning Communications from January 1, 2013 to November 11, 2014 relating to JPMorgan's November 11, 2014 entry into a consent order with the CFTC assessing, questioning, or disputing whether interactions between JPMorgan's foreign exchange spot traders and traders at other banks constituted "coordinated trading," whether such interactions amounted to an attempt to manipulate prices in violation of 7 U.S.C. §§ 9, 13b and 13(a)(2), and whether the CFTC had jurisdiction over the conduct in question. 2. All Documents concerning Communications from January 1, 2013 to November 11, 2014 relating to the basis for the \$310 million civil money penalty imposed on JPMorgan as part of the November 11, 2014 consent order between JPMorgan and the CFTC, including but not limited to Communications relating to whether and to what extent the amount of the penalty imposed was based on the conduct of Richard Usher, the conduct of other JPMorgan foreign exchange spot traders, and JPMorgan's alleged failure to implement adequate controls to prevent its traders from engaging in allegedly improper communications with traders at other banks. 3. All Documents concerning Communications from January 1, 2013 to November 11, 2014 (including but not limited to submissions, letters, white papers, presentation materials, or notes from meetings or phone calls) to the CFTC by JPMorgan or its attorneys relating to the factual or legal basis for charges in the CFTC's investigation of foreign exchange spot trading by JPMorgan, the November 11, 2014 consent order between JPMorgan and the CFTC, or Richard Usher, a former foreign exchange spot trader at JPMorgan. 4. All Documents relating to witness interviews conducted by the CFTC or any other entity during investigations of foreign exchange spot trading, including but not limited to notes or memoranda from witness interviews conducted by the CFTC or other government entities or financial institutions, and any CFTC-created notes from meetings with other entities regarding such interviews.	Granted/Denied in Part
21-00083-FOIA	3/22/2021	The following orders, any prior/related orders mentioned in them, and their dates: Oando Corp. - Decision of Judgment Officer Troy Mertz - Final Order of CME Group, Inc. Marc Nanel and Dorman Trading, LLC - Initial Decision of Judgment Officer.	Granted/Denied in Part
21-00084-FOIA	3/22/2021	Any documents related to the following case: CFTC Docket No.: 89-R300 Respondent: Calvin Lee Word. In particular, a "1992 default judgment" against Calvin Lee Word.	Granted in Full
21-00085-FOIA	3/23/2021	The following records from the CFTC from the time period January 1, 2013 to the present: 1. All records concerning the CFTC's communications with the SEC regarding XRP, Ripple, On-Demand Liquidity (formerly known as xRapid), Bradley Garlinghouse, and/or Christian A. Larsen. 2. To the extent not already produced in response to the previous request, all records concerning any statements made by the SEC with respect to whether XRP or Ripple's transactions involving XRP were subject to regulation under the federal securities laws. 3. All records concerning the CFTC's communications with the SEC regarding bitcoin and ether. 4. All communications referenced by then-Chairman Tarbert when he stated in January 2020 that the CFTC had been "working closely with the SEC over the last year or so to really think about which falls in what box," and documents sufficient to identify the CFTC and SEC employees who engaged in those discussions and who "work[ed] closely" on that issue. 5. All communications between CFTC and third parties about XRP, including but not limited to communications concerning XRP's legal status or regulation by any governmental agency, inquiries received by the CFTC from third parties, or the CFTC's response to such inquiries. 6. All communications to or from any industry groups regarding the regulation of virtual currencies, including but not limited to XRP, bitcoin or ether. 7. All communications to or from the Legislative or Judicial Branches of the U.S. Government, or any State, territorial, or local agency, Legislative, or Judicial branch, regarding the regulation of virtual currencies, including but not limited to XRP, bitcoin or ether. 8. All speeches and public statements in which any CFTC official expressed uncertainty or lack of clarity (as Chairman Tarbert did on January 13, 2020) about the legal status of any virtual currency.	Granted/Denied in Part

21-00002-AP	3/26/2021	Appeal of FOIA No. 21-00078, for the CFTC interview of Michael Nowak, formerly of JPMorgan, on August 3 and 4, 2010, taken as part of the CFTC's investigation from 2008 to 2013 into alleged manipulation of silver prices; and the CFTC interview of Christopher Jordan, formerly of JPMorgan, on September 15 and 16, 2010, taken as part of the CFTC's investigation from 2008 to 2013 into alleged manipulation of silver prices.	Completely Reversed/Remanded
21-00002-CONS	3/24/2021	The attached FOIA request and nine responsive pages, which contain information of primary interest to your office, are forwarded for your review and consultation. The documents were identified by the DoD Defense Advanced Research Project Agency (DARPA) as being responsive to the attached FOIA request from Mr. Osipovich. Please provide this Office with your views regarding disclosure of the enclosed nine pages, applying any recommended FOIA exemptions. Please note that this record is undergoing concurrent reviews by other equity holders. For the CFTC's awareness DARPA's recommended	Granted in Full
21-00086-FOIA	3/30/2021	March 30, 2021 FOIA Compliance Officer: Under the Freedom of Information Act, 5 USC Section 552, I am requesting information or records regarding Navinder Singh Sarao, a UK resident the CFTC charged in 2015 for Price Manipulation and Spoofing. I would specifically like to request copies of any videotaped interviews (or transcripts) from any meetings between Navinder Singh Sarao and Jeff Le Riche and / or other members of the CFTC (Commodity Futures Trading Commission) on or around 8 November 2016. I believe these meetings took place at the Dirksen Federal Building, Chicago. I agree to pay any search, review, or copying fees that may be incurred in processing this request, up to a limit of \$500. If you have any questions about the handling of this request, you may telephone me at + 44 7988 677 780 or email me at adamt@outlineproductions.co.uk Sincerely, Adam Townsend Outline Productions Ltd Bankstock Building (2nd Floor) 42-44 De Beauvoir Crescent London N1 5SB	Other Reasons - No records
21-00087-FOIA	3/31/2021	An electronic copy (e.g. pdfs on a CD-ROM or via email) of any records that indicate membership on a hiring committee that hired, since January 1, 2017, individuals into a non-political position* at the Agency as an attorney or economist at the CT-13 level or higher. *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	Other Reasons - No records
23-00092-FOIA	1/13/2023	Good afternoon, In June 2021, President Biden signed an executive order directing federal agencies to "increase the availability and use of diversity, equity, inclusion, and accessibility training programs for employees, managers, and leadership." Under the Freedom of Information Act, I am requesting copies of any training materials presented to employees, managers or leadership on the topic of diversity, equity, inclusion and accessibility. Please begin the search on Jan. 1, 2022, and end the search on the date that the request is fulfilled. Please include trainings regardless of whether they preexisted President Biden's executive order mentioned above. To the extent that participation in such trainings is statistically tracked, please provide that data as well. I am also requesting any vendor contracts, agreements or proposals related to the creation and/or presentation of those training materials. Please consider waiving fees, since the information is being sought in the public interest by a media organization. If there are fees for this request, please advise before it is fulfilled. If you deny any part of this request, please explain under what exemption the information is being withheld. Thanks--I appreciate your help. I'm at: 917-324-0842. best, Kyle -- Kyle Peterson The Wall Street Journal	Granted/Denied in Part
23-00093-FOIA	1/17/2023	CFTC's investigation of UBS Financial Services, Inc. and UBS Securities, LLC (collectively, "UBS") which resulted in the CFTC's Order Instituting Proceedings Pursuant to Section 6(c) and (d) of the Commodity Exchange Act, Making Findings, and Imposing Remedial Sanctions issued on or about September 27, 2022 in CFTC Docket No. 22-42, captioned In the Matter of UBS AG, UBS Financial Services, Inc., and UBS Securities LLC ("CFTC Order"). Specifically, the materials requested are as follows: 1. Documents and/or communications sufficient to identify the CFTC personnel who were involved with the investigation that resulted in the CFTC Order. The above requests are designed to discover the relevant custodians with respect to the CFTC Order, and ultimately discover information relating to, among other things, the CFTC's investigation into the use of off-channel and unpreserved communications at broker dealers in general, and the CFTC Order pertaining to UBS in particular	Other Reasons - Public Records
23-00094-FOIA	1/17/2023	All rulings and fines levied against NinjaTrader Brokerage, LLC ("NTB") and NinjaTrader Clearing, LLC ("NTC") since 2010	Other Reasons - Public Records
23-00095-FOIA	1/17/2023	I request disclosure of all records consisting of, concerning, referring to, or relating to complaints or reports filed to CFTC concerning so-called "recovery scams." See: https://www.cftc.gov/LearnAndProtect/AdvisoriesAndArticles/RecoveryFrauds.html If necessary, please search your email records using the following list of non-exhaustive search terms: "recovery," "cryptocurrency," "Ethereum," "Bitcoin," "recovery scam." Specifically this request is to include any and all releasable personnel records, any and all commendations, internal and external correspondence, agendas, memos, guidelines, talking points, guidances, legal briefs, presentations, manuals, and/or instructions pertaining to cryptocurrency-related recovery scams. This request applies specifically to any and all relevant images, graphics, illustrations, video or audio recordings, and datasets in your agency's possession (Date	Granted/Denied in Part
23-00100-FOIA	1/23/2023	Information from visitor logs at CFTC headquarters referring to visits by employees of FTX and its affiliates between Jan. 1, 2021 and Dec. 31, 2022. For any records that turn up, please include the date and time of the visit, and the names of any CFTC officials that appear in the visitor log. Please be sure to include representatives from the following companies who visited the CFTC: -FTX -LedgerX -Alameda -FTX US Derivatives -FTX US -West Realm Shires If not captured by the previous search parameters, please also include any visits by following individuals, regardless of company name: -Sam Bankman-Fried -Mark Wetjen -Ryne Miller -Eliora Katz -Ryan Salame -Gabriel Bankman-Fried -Nishad Singh -Gary Wang	Granted in Full
23-00101-FOIA	1/23/2023	Any calls or text messages between the mobile phone of CFTC Chairman Rostin Behnam and the numbers (650)906- 9179 or (202) 277-9518	-
23-00102-FOIA	1/23/2023	From Jan. 1, 2020 to Dec. 31, 2022, emails between sam@ftx.com and any of the following CFTC officials: Rostin Behnam, Summer Mersinger, Caroline Pham, Kristin Johnson, Christy Goldsmith Romero, Brian Quintenz, Dawn Stump and Dan Berkovitz	Denied in Full
23-00007-FPA	1/30/2023	I am requesting any and all information or records regarding a complaint (b)(6) including any decision or response rendered by the CFTC. The confirmation number for this complaint is (h)(6)	Granted/Denied in Part
23-00008-FPA	1/30/2023	I am requesting any and all information or records regarding a TCR complaint (b)(6) including any decision or response rendered by the CFTC. (h)(6)	Granted in Full
23-00105-FOIA	1/30/2023	Kindly furnish me with copies of any and all complaints against LedgerX LLC received by the CFTC Division of Enforcement and the CFTC Whistleblower Office, along with copies of any and all responses or decisions rendered by the CFTC, for the period of 05/29/2014-01/30/2023. Please refer to my FOIA request No. 23-00075-FOIA for an example of the requested information.	Granted/Denied in Part

23-00106-FOIA	1/30/2023	Between Jan. 1., 2020 and Dec. 31, 2022, the number of emails sent from sam@ftx.com and each of the following CFTC commissioners: Rostin Behnam, Summer Mersinger, Caroline Pham, Kristin Johnson, Christy Goldsmith Romero, Brian Quintenz, Dawn Stump, and Dan Berkovitz. For the same time period, please also tally the number of emails sent from the aforementioned CFTC commissioners to sam@ftx.com. Please note that I am not requesting copies of the emails at this time, but rather a count of emails sent between these parties. The information being requested is similar in nature to information voluntarily provided by CFTC Chairman Rostin Behnam in testimony before the Senate Agriculture Committee about the number of times he had met with Sam Bankman-Fried (the owner of the email address). In addition, if possible, please inform the date of each email.	Other Reasons - Not a proper FOIA request for some other reason
23-00001-AP	2/1/2023	I ask that my request be given expedited processing because there is an urgency to inform the public about federal government activity before, during and after the collapse of FTX and related entities, and I am a person primarily engaged in disseminating information.	Other Reasons - Appeal Based Solely on Denial of Request for Expedited Processing
23-00103-FOIA	2/3/2023	information or records regarding Jeffrey E. Epstein (1/20/1953-8/10/2019).	Other Reasons - Records not reasonably described
23-00104-FOIA	2/6/2023	Memoranda, calendar entries, or scheduling emails, meeting invitations, or any other record regarding the scheduling of in-person or virtual meetings between: a) Sam Bankman-Fried, Mark Wetjen, Ryne Miller, Eliora Katz, Ryan Salame, Gabriel Bankman-Fried, Nishad Singh, Gary Wang or any other individual who at the time of the meeting was a known employee or representative of FTX, LedgerX, Alameda Research or West Realm Shires. AND b.) Any employee, office or division of the Commodity Futures Trading Commission during the calendar years 2021 and 2022	-
23-00107-FOIA	2/8/2023	1. Any written authority from the Office of Personnel Management (OPM) to the CFTC to allow the CFTC to deviate from OPM's position classification standards to specifically include attorney positions; 2. Any written communications from the CFTC to OPM seeking to or informing OPM that the CFTC will use classification standards that do not follow OPM classification standards; 3. Any written communications between OPM and the CFTC concerning the CFTC's application of classification standards to CFTC positions; 4. Any written CFTC policy, procedure, practice or guidance stating the standards the agency applies to classification matters to include whether the CFTC strictly applies OPM classification standards or classification standards that differ from OPM; and 5. Any OPM reports or audits concerning the number of CT-15s that the agency has on staff or that otherwise address CFTC staffing	Other Reasons - No records
23-00108-FOIA	2/8/2023	1. Copies of all classification standards used since 2015 to classify attorney CT 14's and CT 15's positions, within the Office of the General Counsel, or the Legal Division, depending on the name of the office during this timeframe; 2. Copies of all classification standards used since 2015 to classify CT 14's and CT 15's positions within the Division of Administration, or Executive Director's Office depending on the name of the office during this timeframe.	Other Reasons - Public Records
23-00109-FOIA	2/9/2023	We respectfully request any or all communication between Mobius Risk Group ("MRG") and the CFTC regarding sequential execution. Specifically, MRG states on their website that "We engage with a single potential counterparty at a time to solicit and negotiate pricing terms for a client's swap transaction, and if trade terms cannot be agreed, only then do we move on to engage with another potential counterparty." Such correspondence may also be related to them, as a CTA Commodity Trading Advisor, being required to be registered as a Swap Execution Facility ("SEF") and/or a determination that their activities may or may not be comprised of assistance between multiple clients transacting swaps with multiple counterparties. Please limit the focus of the request to Market Oversight (DMO) and/or Market Participants Division (MPD) from September 1, 2022 to present.	Other Reasons - No records
23-00110-FOIA	2/10/2023	From January 20, 2021, through the date this request is processed, records of communications and meetings – including emails, text messages, phone records and call logs, Teams or Zoom meetings information and chats, calendar invitations, and messages sent on encrypted messaging applications – conducted between Senator Amy Klobuchar and her staff (domain: @klobuchar.senate.gov) and the CFTC officials specified below regarding FTX, FTX-related companies Alameda and LedgerX, and/or Sam Bankman-Fried: Chairman Rostin Behnam; Chief of Staff David Gillers; Deputy Chief of Staff Laura Gardy; Chief Counsel John Dunfee; FinTech Policy and Technology Advisor Jason Somensatto; Commissioner Kristin N. Johnson; Chief Counsel Bruce Fekrat; Commissioner Christy Goldsmith Romero; Chief of Staff and Senior Counsel Joseph R. Cisewski; Commissioner Summer K. Mersinger; Chief of Staff and Counsel Chris Lucas; Commissioner Caroline D. Pham; Chief of Staff Meghan Tente; Chief Counsel Gates S. Hurand and Dan Berkovitz. (Date Range for Record Search: From 1/20/2021 To 2/10/2023)	Other Reasons - No records
23-00111-FOIA	2/13/2023	Any and all information relating to any correspondence, investigation, analysis, review, account, communication, and/or electronically stored information regarding Long Leaf Trading Group, Inc., Timothy Evans, James A. Donelson, Jeremy Ruth and/or Brian Adams.	Other Reasons - Records not reasonably described
23-00112-FOIA	2/23/2023	Dear Sir/Madam, I would like to inquire if there is any progress towards the below fraud case. (b)(6)	Other Reasons - Not a proper FOIA request for some other reason
23-00113-FOIA	2/23/2023	(b)(6) I would like to submit a request for an inventory of all active CFTC leases. Specific information that I am looking for is: rent per square foot, annual rent, lessor name, square footage occupied, Lease commencement/expiration, and address. Please provide the document in excel spreadsheets.	Other Reasons - Not an agency record
23-00002-AP	2/27/2023	Appeal of the January 24, 2023 denial of FOIA Request No. 23-00098-FOIA.	Completely Affirmed
23-00114-FOIA	3/2/2023	Open an online banking System account	Other Reasons - Not a proper FOIA request for some other reason
23-00115-FOIA	3/6/2023	Please provide me with the number of crypto-related scam reports during the following years: 2022 2021 2020 2019 2018	Other Reasons - Not a proper FOIA request for some other reason
23-00001-REF	3/6/2023	FGI requests records for calendar years 2018, 2019, 2020, and 2021 of the total aggregate hours of leave used by all employees from all federal agencies for which the National Finance Center processes the transactions in the following categories: • Annual leave • Restored leave • Compensatory time • Sick leave • COVID emergency leave • Family medical leave • Administrative leave	Granted in Full
23-00116-FOIA	3/6/2023	All records related to its investigation into Goldline, Inc., including but not limited any closing letters, closing reports or Wells notices	Other Reasons - No records
23-00117-FOIA	3/7/2023	All written communications between lawyers for FTX Trading at law firm Sullivan & Cromwell (particularly Dan Friedberg) and the CFTC relating to CFTC information requests about the availability of FTX Trading's cryptocurrency exchange to persons in the United States and Know Your Customer policies and procedures. Time period is from July 1, 2021 until July 2, 2022. (Date Range for Record Search: From 7/1/2021 To 7/2/2022)	Other Reasons - Records not reasonably described
23-00118-FOIA	3/8/2023	09/27/2022 Citibank - docket 22-46 Bank of America - docket 22-38	Granted in Full

23-00009-FPA	3/13/2023	a copy of my privacy records being held at CFTC.	Other Reasons - Records not reasonably described
23-00133-FOIA	3/30/2023	an index log of all FOIA requests concerning or referencing Jeffrey Epstein.	Granted/Denied in Part
23-00134-FOIA	3/31/2023	Taylor Research Group ("TRG") hereby requests access to copies of any and all records in the possession, custody, or control of the Commodity Futures Trading Commission (the "CFTC"), Michael Frisch, Jeffery Gomberg, and/or Brigitte Weyls related to the subpoena duces tecum served on Bittrex, Inc. ("Bittrex") on May 15, 2018 in connection with the CFTC's investigation regarding In re iFinex Inc., BFXNA Inc., and BFXWW Inc., CFTC Docket No. 22-05 (the "Subpoena").	Denied in Full
23-00135-FOIA	4/6/2023	From December 1, 2022, through March 24, 2023, records of communications between the following list of Signature Bank executives and the list of CFTC officials: CFTC Officials: a) Chairman Rostin Behnam b) Chief of Staff David Gillers c) Deputy Chief of Staff Laura Gardy d) Chief Counsel John Dunfee e) FinTech Policy and Technology Advisor Jason Somensatto f) Commissioner Kristin N. Johnson g) Chief Counsel Bruce Fekrat h) Commissioner Christy Goldsmith Romero i) Chief of Staff and Senior Counsel Joseph R. Cisewski j) Commissioner Summer K. Mersinger k) Chief of Staff and Counsel Chris Lucas l) Commissioner Caroline D. Pham m) Chief of Staff Meghan Tente n) Chief Counsel Gates S. Hurand Signature Bank executives: I. Scott A. Shay, Executive Chairman II. Walter Rabin, President & CEO-Signature Financial III. Brian Twomey, Chief Credit Officer & Senior Vice President IV. Thomas Kasulka, Chief Lending Officer & Executive Vice President V. Maggie Timoney, Director VI. John Tamberlane, Vice Chairman VII. Brian Wyremski, Director-Investor Relations VIII. James Canepa, Managing Group Director & Senior Vice President IX. Mara Huntington, Managing Gp Dir-National Lending-Venture Bkng Gp X. Keisha Hutchinson, Chief Risk Officer & Senior Vice President XI. Joseph J. DePaolo, President, Chief Executive Officer & Director XII. Eric R. Howell, COO, Executive VP-Corporate & Business Development XIII. Stephen Wyremski, Chief Financial Officer & Senior Vice President XIV. Kevin T. Hirkey, Executive VP-Chief Investment Officer & Treasurer XV. Nicholas la Morte, Senior Leading Officer XVI. Barney Frank	Other Reasons - No records
23-00136-FOIA	4/6/2023	From December 1, 2022, through March 24, 2023, records of communications and meetings – including emails, text messages, phone records and call logs, Teams or Zoom meetings information and chats, calendar invitations, and messages sent on encrypted messaging applications – conducted between Senator Elizabeth Warren and/or her staff (domain: @Warren.senate.gov) and the CFTC officials specified below regarding Signature Bank. CFTC Officials: a) Chairman Rostin Behnam b) Chief of Staff David Gillers c) Deputy Chief of Staff Laura Gardy d) Chief Counsel John Dunfee e) FinTech Policy and Technology Advisor Jason Somensatto f) Commissioner Kristin N. Johnson g) Chief Counsel Bruce Fekrat h) Commissioner Christy Goldsmith Romero i) Chief of Staff and Senior Counsel Joseph R. Cisewski j) Commissioner Summer K. Mersinger k) Chief of Staff and Counsel Chris Lucas l) Commissioner Caroline D. Pham m) Chief of Staff Meghan Tente n) Chief Counsel Gates S. Hurand	Other Reasons - No records
23-00137-FOIA	4/10/2023	All purchase orders (POs), task orders (TOs), and related contract documentation for computer-assisted legal research (CALR) services provided by Westlaw/West Publishing to the Commodity Futures Trading Commission (CFTC) for the past five years.	Granted/Denied in Part
21-00088-FOIA	4/7/2021	I request a copy of the proposed but unreleased CFTC order regarding ErisX self-certified NFL futures contracts ("Order"), as described in Commissioner Brian D. Quintenz' public statement dated Mar. 25, 2021, and posted on the CFTC's website at www.cftc.gov/PressRoom/SpeechesTestimony/quintenzstatement032521 . The order is referred to by Commissioner Quintenz where he states "Commission staff proposed an Order that found the ErisX NFL contracts involved gaming, were prohibited by regulation, and were also contrary to the public interest. This proposed Order (which for simplicity's sake I will refer to just as the Order) was circulated to the Commission for a vote, utilizing a process where the Order is considered by the most junior Commissioner first then moving to the next Commissioner in seniority. Just hours before this voting process could conclude, and likely in anticipation of the Order's approval by the Commission, ErisX decided to withdraw their certification, preventing the Order from being fully and formally considered by the Commission and publicly issued." Commissioner Quintenz statement, para. 2. This request is in the public interest for reasons which include those stated by Commissioner Quintenz: the CFTC's "staff's analysis and working law that was applied to the ErisX NFL contracts may . . . apply in current or future direct [staff] discussions with exchanges to similar contracts, and outside of the purview of the Commissioners or the public. But the legal analysis and interpretations will remain secret until forced into the open by another, bolder exchange's decision to see a selfcertification process through to a conclusion." Id., para. 3. Commissioner Quintenz performed a valuable public service by providing insight into the analysis and application of law in the CFTC's preparation of the unreleased Order regarding ErisX's self-certified NFL futures contracts. However, this insight remains incomplete without public disclosure of the Order. Former CFTC Chairman Heath P. Tarbert, under whose tenure the Order was prepared, stated that the CFTC "serve[s] its markets best when [it] act[s] with the benefit of public input and dialogue," and that the CFTC "owe[s] it to those who rely on our derivatives markets to regulate in the open." See Heath P. Tarbert, statement before open meeting, "Tripling Down On Transparency" (Dec. 10, 2019), https://www.cftc.gov/PressRoom/SpeechesTestimony/tarbertstatement121019 .	Denied in Full
21-00089-FOIA	4/13/2021	Copies of any subpoenas sent out by the CFTC mentioning any of the following companies: 1) Binance Holdings Limited 2) CoinMarketCap OpCo, LLC 3) bitFlyer, INC 4) ByBit 5) Bequant Exchange Ltd 6) FTX Trading LTD 7) Huobi Group 8) OKx 9) Uniswap 10) Bisq 11) Airswap Protocol 12) IDEX 13) Bancor 14) Kyber Network 15) Decred DEX 16) SushiSwap 17) DeFi Money Market 18) Chainlink 19) Wrapped Bitcoin 20) AAVE 21) Compound 22) Forum (Date Range for Record Search: From 1/1/2021 To 7/25/2021)	Other Reasons - No records

21-00090-FOIA	5/5/2021	1. All records relating to the June 26, 2018 meetings or discussions between and among staff of the Commodity Futures Trading Commission ("CFTC"), Arthur Hayes of HDR Global Trading Limited ("HDR"), and Ken Raisler of Sullivan & Cromwell LLP, including but not limited to any records memorializing, summarizing, or discussing the meetings or discussions. 2. All records relating to the CFTC Division of Enforcement's December 17, 2015 letter to ICBIT Trading Inc. d/b/a Orderbook.net ("ICBIT"), ICBIT's December 18, 2015 letter to the CFTC Division of Enforcement, or the CFTC Division of Enforcement's March 1, 2016 letter to ICBIT (collectively, the "ICBIT Letters"), including but not limited to: a. All communications with ICBIT or its representatives relating to the ICBIT Letters; b. All internal CFTC records, including communications by or among any current or former CFTC staff, Commissioner, or Chairperson, relating to the ICBIT Letters; c. All communications with any other government agency or enforcement authority relating to the ICBIT Letters; and d. All similar letters sent by CFTC Division of Enforcement staff to any other companies or individuals offering digital asset products or services. 3. All records relating to the registration of LedgerX LLC or its affiliates with the CFTC as a designated contract market ("DCM"), derivatives clearing organization ("DCO"), and Swap Execution Facility ("SEF"), including but not limited to the CFTC's consideration and approval of LedgerX's registration applications and any determination as to whether LedgerX or any of its affiliates was required to register as a futures commission merchant ("FCM"). 4. All records relating to the registration of Eris Exchange LLC or its affiliates with the CFTC as a DCM and DCO, including but not limited to the CFTC's consideration and approval of ErisX's registration applications and any determination as to whether ErisX or any of its affiliates was required to register as an FCM. 5. All records relating to the registration of KalshiEX LLC or its affiliates with the CFTC as a DCM, including but not limited to the CFTC's consideration and approval of KalshiEX's registration applications and any determination as to whether KalshiEX or any of its affiliates was required to register as an FCM. 6. All records relating to the registration of TeraExchange LLC or its affiliates with the CFTC as a SEF, including but not limited to the CFTC's consideration and approval of TeraExchange's registration applications and any determination as to whether TeraExchange or any of its affiliates was required to register as an FCM. 7. All records relating to the registration of Cantor Futures Exchange, L.P. or its affiliates with the CFTC as a DCM, including but not limited to the CFTC's consideration and approval of Cantor Futures Exchange's registration applications and any determination as to whether Cantor Futures Exchange or any of its affiliates was required to register as an FCM. 8. All records relating to the registration of Bitnomial Exchange LLC or its affiliates with the CFTC as a DCM, including but not	Other Reasons - Not a proper FOIA request for some other reason
21-00091-FOIA	5/5/2021	FBI FOIA request. FBI referred 1 page of responsive records to CFTC for direct response to the requester.	Granted/Denied in Part
21-00092-FOIA	5/5/2021	All documents and communications, including, but not limited to, transcripts, notes, memoranda, summaries, or presentations, concerning the CFTC's external call with the CME Group on August 23, 2010 referenced on the CFTC's External Meetings webpage at https://www.cftc.gov/node/173416	Other Reasons - No records
21-00093-FOIA	5/10/2021	I would like to submit a request for an inventory of all active CFTC leases. Specific information that I am looking for is: rent per square foot, annual rent, lessor name, square footage occupied, Lease commencement/expiration, and address. Please provide the document in excel spreadsheets.	Other Reasons - No records
21-00094-FOIA	5/12/2021	Any and all documents in the possession of the CFTC that refer, relate or evidence either Anka Metcalf (a/k/a Cristina Metcalf) or TradeOutLoud, LLC (currently a Florida based LLC). In particular, I am seeking records regarding complaints or investigations into either Ms. Metcalf or her company TradeOutLoud, LLC.	Other Reasons - No records
21-00095-FOIA	5/12/2021	Request amended to: "A copy of all subpoenas or investigatory requests sent our regarding the 2017 'Flash Crash' of Ethereum." (Date Range for Record Search: From 1/1/2017 To 12/31/2018)	Other Reasons - No records
21-00096-FOIA	5/12/2021	Request Amended to: "A copy of subpoenas mentioning the keywords "FTX or "Sam Bankman-Fried" (Date Range for Record Search: From 1/1/2019 To 2/26/2021)	Other Reasons - No records
21-00097-FOIA	5/12/2021	Request Amended to: "A copy of subpoenas sent out by the CFTC containing the word 'Ethereum'." (Date Range for Record Search: From 1/1/2019 To 2/26/2021)	Granted/Denied in Part
21-00098-FOIA	5/20/2021	On April 23, 2007, approximately 12:48pm EDT/EST local time, Jared and Susan Martinez stated that there was/is a four million dollars complaint/investigation from the NFA/government. Subject is Market Traders Institute, Inc. and I Trade FX, LLC. both of Florida. Request for records on this four million dollars complaint/investigation from the NFA/CFTC in or around April 2007.	Granted/Denied in Part
21-00099-FOIA	5/28/2021	All information relative to the RBC Capital Markets, LLC., and specifically CFTC Docket No. 19-47; also in reference to Notice of Covered Action Publication Date: 10/14/2020; Notice Number 2020-022 - including proposed Amendments to part 37 regulations; published by the Commission November 30, 2018. Requester Clarified: Seeking investigation records and records that show where the Royal Bank of Canada (RBC) may have violated the CEA, or CFTC rules or regulations relating to Docket No. 19-47; and particularly where (b)(6) may have appeared or mentioned in connection to the action.	Other Reasons - No records
21-00100-FOIA	5/28/2021	Kindly furnish me with any and all non-public records compiled in investigations and consumer complaints against Tether (Tether Limited) and Bitfinex for the period of 07/21/2010-05/15/2021. (Date Range for Record Search: From 7/21/2010 To 5/15/2021)	Granted/Denied in Part
21-00003-CONS	5/21/2021	FOIA Consult from Treasury (2 pages) for Calendar entry records.	Granted/Denied in Part
21-00101-FOIA	5/28/2021	Current organization chart showing CFTC staff under each CFTC Division or Office Director. In particular, please provide staff under the Division of Clearing and Risk. But will be helpful if we can get charts for other divisions and offices as well.	Granted in Full
23-00138-FOIA	4/10/2023	My email attachment will show you a conversation between me and Cannaccord Genuity about MMTLP and how they would not be named on routing report. The issue is, Cannaccord Genuity did route the orders of MMTLP on October 7th 2021 to (ME) and others. This is an issue and I am digging into the cover up story this has on public corruption. Do take this as a serious concern. Thank you.	Other Reasons - Not a proper FOIA request for some other reason
23-00139-FOIA	4/12/2023	I am requesting any information in regards to MMAT1 options as shown in the attachment. These options included Series A Preferred Stock from 06/2021 Adjusted Meta Materials Inc. - Further Adjustment Adjusted Option Symbol: MMAT1 Date: 6/28/21 Settlement Allocation: MMAT: 95% MMTLP: 5% CUSIPs: MMAT (New): 59134N104 MMTLP: 59134N203 Request: Why did these options come with MMTLP / CUSIP 59134N203 included. The series A preferred was never intended to trade. Who requested this to trade?	Other Reasons - No records
23-00140-FOIA	4/12/2023	Any documents relating to (b)(6) or Typhon Capital Management relating to: the MF Global bankruptcy, PFG bankruptcy, (b)(6) role as a Board Member and/or Executive Committee Member of the National Futures Association, or any audits of Typhon by the NFA or CFTC.	Other Reasons - No records
23-00141-FOIA	4/13/2023	To whom it may concern, I am requesting a copy of the CFTC office lease at 1155 21st St NW, Washington, DC 20581.	Other Reasons - Not an agency record

23-00142-FOIA	4/14/2023	Scheduling emails, calendar appointments, memos and call logs between CFTC commissioners and staff in the Enforcement, Market Oversight and Market Participant divisions and representatives of Calpine, Constellation, Luminant, NRG, Rockland Capital, TexGen, Vistra and WattBridge referencing conversations relating to the intrastate natural gas market and pipeline industry in Texas beginning Jan. 1, 2021 through present.	-
23-00143-FOIA	4/14/2023	Inside these emails, you will notice a stock Symbol MMTLP and this was created via an options chain and an ADR into the OTC market exchange. My request. CUSIP 59134N203 was originally linked to an option chain from June 2021. My data request is anything with CUSIP 59134N203 Thank you	Other Reasons - Not an agency record
23-00150-FOIA	4/26/2023	I would like all emails and communications between the CFTC (Commodities Futures Trading Commission and the SEC (Securities Exchange Commission) and/or FINRA (Financial Industry Regulatory Authority) regarding the ticker symbol MMTLP and all related correspondence." Time frame Oct 1, 2021 through November 25, 2022	Other Reasons - Records not reasonably described
23-00151-FOIA	4/26/2023	I am requesting "LedgerX LLC Communications" (File Number: 22-00075).	Granted in Full
23-00152-FOIA	4/27/2023	All	Other Reasons - Records not reasonably described
23-00011-FPA	5/1/2023	I am requesting information on my American bank notes which is on the bottom of my birth certificate. I am the share holder of my stock number on my birth certificate . I want my original authenticated certificate returned to me through the vital records in Washington DC and the effects and collateral that are to be paid to me as the shareholder in the United States Corporation through the Treasury and Federal Reserve. With all due respect I want my naturalization records as a US citizen as well and anything that is attached to the stock number of my birth certificate and social security number. This country and any land attached to it is my inheritance and birth right to life , liberty , and pursuit of happiness and I demand it back with interest one	Other Reasons - Records not reasonably described
23-00154-FOIA	5/1/2023	Please see the request letter for more details. FGI requests from the Commodity Future Trading Commission all records from January 1, 2022, to the date the search begins meeting the following criteria: • All records of external and internal communications containing any of the following terms: o Environmental, Social, Governance o ESG o Climate risk o Socially responsible Investing o SRI o Carbon report o Sustainability report o Ethical supply chains o Fair wages o Employee engagement o Carbon Footprint o Carbon Offsets o Corporate Social Responsibility o CSR o Decarbonization o Financed Emissions o Greenwashing o Net Zero o Sustainable Development Goals o Value Chain Emissions o Diversity, equity, and inclusion o DEI o Sustainability Accounting Standards Board o SASB • Please search the records of the following custodians: o Commissioners ? Rostin Behnam, Chairman ? Kristin N. Johnson ? Christy Goldsmith Romero ? Summer K. Mersinger ? Caroline D. Pham o Office of Public Affairs ? Steven Adamske, Director, Media Relations Branch o Office of Legislative and Intergovernmental Affairs ? Ann Wright, Director o David Gillers, Chief of Staff o Bruce Fekrat, Chief Counsel o Joseph R. Cisewski, Chief of Staff and Senior Counsel o Chris Lucas, Chief of Staff and Counsel o Meghan Tente, Chief of Staff o Gates S. Hurand, Chief Counsel	-
23-00153-FOIA	5/3/2023	I'm requesting electronic copies of the following files: 19-00088 21-00011	Granted in Full
23-00155-FOIA	5/2/2023	Publishers Clearing House LLC Gwy:19500 Gwy:21000	Other Reasons - Records not reasonably described
23-00156-FOIA	5/3/2023	This is a request for records under the Freedom of Information Act ("FOIA"), 5 U.S.C. § 552 and the Privacy Act, 5 U.S.C. § 552a. This request should be considered under both statutes to maximize the release of records. Requester Information Name: Colin Aamot Position: Freelance Investigative Journalist Address: (b)(6) Records Sought I request disclosure on the following records: Full FOIA Logs, years 2000-present Full FOIA Appeal Logs, years 2000-present If responsive records are found please include the all documents, all attachments, and all pertinent records regardless of format. If the agency's position is that records are exempt from disclosure, please provide an index as required under Vaughn v. Rosen 484 F.2d 820 (D.C. Cir. 1973.). Under 5 U.S.C(a)(4)(iii), "Documents shall be furnished without charge...if disclosure of the information is in the public interest because it is likely to contribute significantly to public understanding of the operations or activities of the government and is not primarily in the commercial interest of the requester. " Disclosure in this case meets the statutory criteria, as the records sought to detail the operations and the activities of the government. The public interest in this significant expansion of public understanding of government operations far outweighs any commercial interest of my own in the requested release. If I am not granted a complete fee waiver, I request to be considered a member of the news media for fee purposes. I am willing to pay all reasonable expenses incurred in the process of the FOIA request. My previous journalistic work has been featured in Muckrock, the Centcom press portal, local publications, among others. Respectfully, Colin Aamot	-
21-00102-FOIA	6/4/2021	• Daily traders positions from LTRS (Large Trader Reporting System) • Intraday transaction data Requester Clarified: "the data I need is aggregated per trader type (e.g., swap dealers, hedge fund); hence, there is no disclosure of the identity of individual traders or firms."	Other Reasons - Not a proper FOIA request for some other reason
21-00103-FOIA	6/4/2021	I am requesting: 1. the first page (i.e., Face Page) of the current contract award, and first 15 pages of the Performance Work Statement or Statement of Work for the existing contract # 9523ZY17FODT0165 2. Security/Facility Clearance Requirement, if any: _____ 3. for the existing contract, who is currently assigned as: TM/POC (govt technical manager or govt owner of the requirement), COR (Contracting Organization Representative), FO/KO (contract officer), and CS (contract specialist)	Granted in Full
21-00104-FOIA	6/4/2021	1. Any Documents reporting the disaggregated Commitments of Traders positions of Livestock Slaughterers, showing their daily live Cattle Futures and delta adjusted options positions from January 1, 2013 to November 2, 2016 and December 16, 2019 to the present date. To clarify, we are seeking an extended data set of what was produced pursuant to FOIA Request # 19-00135, which were the daily live Cattle Futures and delta adjusted options positions of Livestock Slaughterers	Granted in Full
21-00105-FOIA	6/8/2021	CORRECTED - [Reference FGI#21-72256] Relevant to GS35F0048L CFTC Order 9523ZY17FODT0109, we seek copies of the following (1) Copy of the Task Order 9523ZY17FODT0109 with SOW/PWS (conformed ok) (2) complete and original solicitation/RFP with all amendments and attachments, and (3) winning proposal	Granted/Denied in Part
21-00106-FOIA	6/8/2021	I request a copy of any emails sent between CFTC staff and Rentec staff (email domain: @rentec.com) over the past 20 years (or as far back as CFTC maintains records).	Granted/Denied in Part
21-00107-FOIA	6/8/2021	"most recent 8R" application for "Laurent Marquis"	Granted/Denied in Part
21-00108-FOIA	6/10/2021	Administrative Determination No 51 (March 17, 1938) published by CFTC's predecessor Commodity Exchange Authority	Granted in Full

21-00109-FOIA	6/21/2021	Pursuant to the Freedom of Information Act, 5 U.S.C. § 552, Lovell Stewart Halebian Jacobson LLP hereby requests copies of the following documents in the proceedings before the Administrative Law Judge ("ALJ") and the Commodity Futures Trading Commission ("CFTC" or "Commission") in the Matter of Anthony J. Placido, CFTC Docket No. 01-23 (CFTC filed Aug. 21, 2001). 1. Memorandum of law submitted by and/or on behalf of the CFTC's Division of Enforcement ("DOE") in the proceedings before the ALJ relating to Anthony J. Placido prior to the issuance of the Initial Decision, dated September 14, 2004. In the Matter of Anthony J. Placido, CFTC Docket No. 01-23, Comm. Fut. L. Rep. P29866, 2004 WL 2036910 (CFTC Sep. 4, 2004) ("Initial Decision"). 2. Memorandum of law submitted by and/or on behalf of the DOE in the proceedings before the Commission relating to Anthony J. Placido prior to the issuance of the Opinion and Order, dated November 5, 2008. In the Matter of Anthony J. Placido, CFTC Docket No. 01-23, Comm. Fut. L. Rep. P30970, 2008 WL 4831204 (CFTC Nov. 5, 2008) ("Opinion and Order"). 3. The docket (or other list of filings) showing memoranda of law submitted by and/or on behalf of the DOE in the above proceedings prior to the issuance of the Initial Decision by the ALJ and the Opinion and Order by	Granted in Full
21-00110-FOIA	6/25/2021	I am requesting information and records regarding the activities of Ceres Global Ag. Corp. (or its affiliates or subsidiaries, including but not limited to Riverland Ag Corp. and Savage Riverport LLC) concerning the markets for oats or oat futures during the period of January 1, 2016 through December 31, 2020. Requester Clarified: "To be more specific, I am seeking information concerning the CFTC's oversight of Ceres Global Ag Corp. (or its affiliates or subsidiaries) and/or information related to any CFTC investigation or enforcement activity concerning Ceres Global Ag Corp. (or its affiliates or subsidiaries)." (Date Range for Record Search: From 1/1/2016 To 12/31/2020)	Denied in Full
21-00111-FOIA	6/29/2021	-The CFTC trading records from April 1, 2011 - May 31, 2011 -The CFTC trading records from January 1, 2021 - June 1, 2021 -JP Morgan chat transcripts (similar to what was released by Deutsche Bank) during the time period during which they've already confessed to rigging the gold and silver markets -KKemper Note: See request 15-00010	Denied in Full
21-00112-FOIA	6/29/2021	I would like copies of the public volume (i.e., portion of the filing readily releaseable as non-confidential) of the applications for Part 30 relief that are referred to in this press release: https://www.cftc.gov/PressRoom/PressReleases/8300-20	Granted in Full
21-00004-CONS	6/29/2021	Pursuant to the federal Freedom of Information Act, 5 U.S.C. § 552, I request access to records responsive to show any former Treasury Secretary Steven Mnuchin's unredacted calendar events. This should include but not limited to all of Secretary Mnuchin's meetings and events from January 2017 to January 2021. Also pursuant to the federal Freedom of Information Act, 5 U.S.C. § 552, I request access to records responsive to show any email messages from Secretary Mnuchin's time in office, January 2017 to January 2021, that include the following words: - cryptocurrency - virtual currency - digital currency - digital asset - virtual convertible currency - convertible virtual currency - cyber currency - blockchain - Coinbase - Kraken - Gemini -	Granted/Denied in Part
21-00113-FOIA	7/6/2021	Could we have more information pertaining to the below Question found in the Two Sigma Investments LP Disciplinary Information Filed on 28 April 2021? Question 1 Has the firm ever been the subject of an adversary action brought by a U.S. bankruptcy trustee? Yes	Granted in Full
21-00114-FOIA	7/6/2021	Kevin Lemmer (NFA ID: 0458991) replied Yes to one of the regulatory disclosures questions - Question E. Would it be possible to arrange for the CFTC to provide the details of this disclosure?	Denied in Full
21-00005-CONS	7/6/2021	"the word 'Mulvaney' in the last 200 emails for Brian Johnson and Kathy Kraninger."	Granted in Full
21-00115-FOIA	7/7/2021	I am requesting information or records regarding the following: Please provide a listing of all current CFTC staff as of July 8, 2021. For each individual include: Name, Title, Pay Plan, Series, Grade, Base Salary, Total Salary, SCD Leave Date, CFTC Start Date, Date in Grade, Division Monetary Award for FY 2020. Days Off Award for FY 2020.	Granted in Full
21-00116-FOIA	7/13/2021	Each of these requests relates to the matter of United States of America v. Tower Research Capital, LLC referred to in CFTC Release No. 8074-19 dated November 7, 2019. Based upon this press release, I understand that, in addition to a matter brought in the United States District Court Southern District of Texas, Houston Division, the Commodity Futures Trading Commission also brought action and settled charges against Tower Research Capital, LLC. I respectfully request under FOIA the following documents: 1. The complaint or complaints; 2. Consumer complaint or complaints; 3. Communications from third-parties' attorneys; 4. Witness statements; 5. Letters from the Commission to Tower Research Capital, LLC; 6. Letters from Tower Research Capital, LLC to the Commission; 7. Emails from the Commission to Tower Research Capital, LLC; 8. Emails from Tower Research Capital, LLC to the Commission; 9. Communications in electronic or paper format between any representative or attorney on behalf of Tower Research Capital, LLC to the CFTC; 10. The order(s) arising from the CFTC action; 11. The document regarding the settling of charges brought by the CFTC against Tower Research Capital, LLC; 12. Submissions by or on behalf of Tower Research Capital with respect to the settlement of charges, admissions or denials of charges; and 13. Communications by the Division of Enforcement staff members involved in this matter, including Rachel Hayes, Rebecca Jelinek, Allison Sizmore, Stephen Turly, Chris Reed and Charles Marvine relating to the CFTC investigation and results obtained with respect to Tower Research Capital.	Granted/Denied in Part
21-00117-FOIA	7/13/2021	I am requesting information or records regarding documents provided by Lekhraj Investment 2 LLC and Nadira Lekhraj with regard to U.S. Middle District of Florida Civil Case 6:20-cv-01657-CFM-GJK.	Other Reasons - No records
21-00003-AP	7/13/2021	Appeal of denial of fee waiver; provides additional info on why it's not in his commercial interest.	Other Reasons - Fee-related reason
21-00118-FOIA	7/16/2021	-Emails, memos or communications creating by CFTC personnel regarding funding for CFTC Labs during the FY 2022 year Emails, memos or communications creating by CFTC personnel regarding CFTC funding mentioning "bitcoin" -Emails sent to Cindy Hyde-Smith; Jerry Moran; John Boozman; John Kennedy; Chris Van Hollen; Chris Coons; Dick Durbin; Joe Manchin containing keywords CFTC + Funding + Bitcoin - Emails sent to Cindy Hyde-Smith; Jerry Moran; John Boozman; John Kennedy; Chris Van Hollen; Chris Coons; Dick Durbin; Joe Manchin containing keywords Arthur Hayes -Emails sent to Cindy Hyde-Smith; Jerry Moran; John Boozman; John Kennedy; Chris Van Hollen; Chris Coons; Dick Durbin; Joe Manchin containing keywords Bitcoin Derivatives Date for all: Jan 1 - June 1 2021 (Date Range for Record Search: From 1/1/2021 To 6/1/2021)	Granted in Full - Public Records
21-00006-CONS	7/19/2021	Any Department of the Treasury e-mails, phone logs, meeting notes, transcripts, or other documents concerning Executive Order 12631 (the "plunge protection team") from October 1, 2018 through August 20, 2019. (Date Range for Record Search: From 10/1/2018 To 8/20/2019)	Granted/Denied in Part
21-00119-FOIA	7/19/2021	A copy of the J&A (Justification & Approval) Log found in the CFTC contracting/acquisition Office, covering the last three years. Note: The J&A Log lists each J&A prepared by the contracting/acquisition office for other than full and open competition. I also request a copy of each J&A document during calendar year 2021 to date.	Granted/Denied in Part
21-00120-FOIA	7/23/2021	a copy of all text messages sent or received by CFTC staff (on their work cell phones) over the past 5 years that contain any of the following non-case sensitive strings: "Leon Black" "Steve Cohen" "Ken Griffin" "Citadel" "Goldman" "Jho Low" "Tim Leissner" "rentec" "Kushner" "oil" AND "negative" Please contact the CFTC IT department to conduct an agency wide text message search. Many other agencies, such as the FBI, can conduct this type of search with ease.	Other Reasons - Fee-related reason
21-00121-FOIA	7/26/2021	I request how much CFTC spent on PACER over the past 10 years. Please include invoices from US Courts and a breakdown by year.	Granted in Full

21-00122-FOIA	7/26/2021	The FOIA request log for 2019 and 2020.	Granted/Denied in Part
21-00123-FOIA	7/27/2021	[Reference FGI # 21-74455] Relevant to GS00Q17NSD3009 Task Order 9523Z21F001 (CFTC) [WE SEEK NO PRICING]: CLEARLY RELEASABLE OK, we seek copies of the following (1) Copy of the Task Order's title page (1st page only), and (2) copy of the Task Order's CURRENT Statement of Work/Performance Work Statement (SOW/PWS)	Granted/Denied in Part
21-00124-FOIA	7/28/2021	The FOIA log for CY2019 and CY2020	Other Reasons - Request withdrawn
21-00125-FOIA	7/28/2021	I am requesting all information, documents, and records, from January 1, 2013 up to and including September 30, 2019, related to the investigation and settlement of the charges against PNC Bank, National Association referenced in (i) Release Number 8043-19, dated October 1, 2019, of the Commodity Futures Trading Commission and (ii) the Order Instituting Proceedings Pursuant to Section 6(c) and (d) of the Commodity Exchange Act, Making Findings, and Imposing Remedial Sanctions, dated September 30, 2019, in In the Matter of: PNC Bank, National Association, CFTC Docket No.19-03	Granted/Denied in Part
21-00126-FOIA	7/30/2021	Any complaints or leads that may have led to an investigation for Saeg Capital. (Date Range for Record Search: From 7/1/2019 To 7/30/2021)	Denied in Full
21-00127-FOIA	8/4/2021	Information on DSAM Partners London Limited	Denied in Full
21-00128-FOIA	8/9/2021	Please provide the accounting of funds received from the \$920.2 million fine imposed upon JP Morgan in September 2020 for 'rigging' the precious metals market. (charges against JPMorgan Chase & Company (JPMC & Co.) and its subsidiaries, JPMorgan Chase Bank, N.A., and J.P. Morgan Securities LLC (JPMS) (collectively, JPM), for manipulative and deceptive conduct and spoofing that spanned at least eight years and involved hundreds of thousands of spoof orders in precious metals and U.S. Treasury futures contracts on the Commodity Exchange, Inc., the New York Mercantile Exchange, and the Chicago Board of Trade. This case is brought in connection with the Division of Enforcement's Spoofing Task Force.) The Division of Enforcement staff members responsible for this case are Mark A. Picard, David C. Newman, Trevor Kokal, Patrick Marquardt, Jordan Grimm, Steven I. Ringer, Lenel	Granted/Denied in Part
21-00129-FOIA	8/12/2021	I request all records compiled in connection with the CFTC's Administrative Proceeding instituted by the Order at CFTC Docket No. 20-25, In the Matter of: INTERACTIVE BROKERS LLC, including all records compiled in the investigation leading thereto. The Order is dated August 10, 2020. This request is for all records described above compiled leading up to and including that date.	Granted/Denied in Part
21-00130-FOIA	8/13/2021	-Legal briefings or guidance prepared for CFTC regarding Miner Extractable Value (MEV) and the Ethereum blockchain -Date: March 1 - Aug 1 2021	Granted in Full
21-00131-FOIA	8/17/2021	All complaints received by the CFTC relating to the Chicago Mercantile Exchange for the period 1 January 2018 to now (Date Range for Record Search: From 1/1/2018 To 8/16/2021)	Granted/Denied in Part
21-00132-FOIA	8/19/2021	I would like to request the following documents from the CFTC. Below is all the information I have to go on. [Seeking Decision for] -Global Asset Management Alliance, LLC and Joseph Tsalik - Decision, Docket No. 12-R30. No date, but before or during 2015 [Seeking: Opinion, Order, and Initial Decision on Remand for] -Robert Sean Skelton and Transact Futures, f/k/a York Business Associates - Opinion and Order, Docket No. 08-R045, dated July 1, 2013; and Initial Decision on Remand, dated September 10, 2014 [Seeking decision for] -Alvarez, et al - Decision, Docket No. 12-R004. No	Granted in Full
21-00133-FOIA	8/25/2021	I would like information about Commissioner Brian Quintenz's recent interactions with the cryptocurrency industry, specifically decentralized finance, or "DeFi." The timeframe that interests me is July and August. I would like to search for meetings and calls that Commissioner Quintenz took with industry players. Helpful search terms would include "crypto" "digital assets" "financial technology" "decentralized finance" "defi" "virtual currency" and "web3". (Date Range for Record Search: From 7/1/2021 To 8/25/2021)	Granted/Denied in Part
21-00134-FOIA	8/25/2021	Please provide the following: 1) All investigations, memorandums, reports, witness statements, documents, data and audio/video recordings in connection with the case of CFTC v. Oasis International Group, Oasis Management, Michael DaCorta, et al. (case 8:19-cv-886-VMC-SPF). From time period of 2012 until 2020. 2) Any complaint against Michael Dacorta and all investigative documents associated with said complaint from time period of 2000 until 2020. 3) All investigations, memorandums, reports, witness statements, documents, data and audio/video recordings in the complaint against International Currency Traders and/or Michael Dacorta in connection with ICT for the year 2005 until 2019.	Other Reasons - Request withdrawn
21-00135-FOIA	8/26/2021	All pleadings in case number 20-R019	Granted/Denied in Part
21-00136-FOIA	8/26/2021	See request form.	Other Reasons - Not a proper FOIA request for some other reason
21-00137-FOIA	8/26/2021	I am requesting information or records regarding the CFTC's Order Instituting Proceedings Pursuant to Sections 6(C) and 6 (D) of the Commodity exchange Act, Making Findings and Imposing Remedial Sanctions, including but limited to, all documents gathered, collected, or obtained by the CFTC from Carroll in connection with this matter.	Denied in Full
22-00019-FOIA	10/25/2021	A list of all CFTC employees currently enrolled in the federal retirement system.	Granted in Full
22-00020-FOIA	10/25/2021	A copy of each email in the email account of Michael C. Short (to/from/cc) that contains the word Trump.	Granted/Denied in Part
22-00021-FOIA	10/25/2021	A copy of the CFTC Congressional Correspondence Logs covering the time period CY2018 to present.	Other Reasons - No records
22-00001-CONS	10/28/2021	74 pages with CFTC equities	Granted in Full
22-00022-FOIA	10/28/2021	Any and all documents concerning the asset reserve composition details backing the stablecoin Tether (\$USDT) for Tether Operations Limited that were provided to, or discovered by the CFTC during its investigation into Tether's reserves between June 1, 2016 and Feb. 25, 2019, which was settled earlier this year. I'm specifically looking for information about what is backing Tether's reserves, and any communications between Tether executives during this period about the reserves. I do not currently need any other documents about the investigation.	Denied in Full
22-00023-FOIA	10/28/2021	Any and all emails sent to or from CFTC Commissioners, the Secretary of the Commission, or the enforcement division staffers listed below since October 15, 2021 with either of the following URLs: https://tether.to/statement-on-tethers-settlement-with-the-cftc/ or https://twitter.com/Tether_to/status/1449031920009064448 . Please search the emails of the following enforcement division staffers: Candy Haan, Bryan Hsueh, Cristina Covarrubias, Benjamin Jackman, Ray Lavko, Elizabeth N. Pendleton, Scott R. Williamson, and Robert T. Howell, as well as former enforcement staff members Michael Frick, Jeffrey Conboy, Prithvi G. Mehta, and Susan Sanderson. Enforcement division	Other Reasons - No records
22-00024-FOIA	11/2/2021	8R Information on Various Individuals	Denied in Full
22-00025-FOIA	11/2/2021	I was wondering if it would be possible to request any information/documents regarding the position limit that was voided during early 2021 for Goldman Sachs by the CFTC.	Other Reasons - No records

22-00001-FPA	11/2/2021	We require copies of any and all records or documents featuring one or more of the following titles; (b)(6)	Other Reasons - Records not reasonably described
22-00026-FOIA	11/10/2021	For each whistleblower award made under the CFTC's whistleblower program from the program's inception through January 20, 2021 (inclusive): (1) the date the award was issued; (2) the dollar amount of the award; and (3) the law firm(s) and individual attorney(s) representing the whistleblower (if any)	Granted/Denied in Part
22-00002-CONS	11/15/2021	Consult regarding EO 13940	Granted in Full
22-00027-FOIA	11/11/2021	Discussions regarding two recent instances of commodity market spikes. I would like to search commissioner correspondence or calendars for any mention of both "Walmart" and "Litecoin" (or "LTC") since September 13. I would also like to search commissioner correspondence or calendars for any mention of both "Kroger" and "Bitcoin Cash" (or "BCH") since November 5.	Granted/Denied in Part
22-00028-FOIA	11/16/2021	A list of all Associated Persons, including NFA ID Numbers, with StoneX Financial Inc. (formerly INTL FCStone Financial Inc. and others), NFA ID 0476094 from January 1, 2014 to December 31, 2018. (Date Range for Record Search: From 1/1/2014 To 12/31/2018)	Other Reasons - Request withdrawn
22-00001-AP	11/17/2021	Appeal of denial of records compiled in connection with the administrative proceeding of CFTC Docket No. 2025, In the Matter of Interactive Brokers, LLC, regarding FOIA No. 21-00129.	Partially Affirmed & Partially Reversed/Remanded
22-00002-AP	11/17/2021	Appeal of FOIA Appeal No. 21-00090-FOIA, regarding the withholding and denial of records responsive to Part 5 of May 4, 2021 FOIA request.	Partially Affirmed & Partially Reversed/Remanded
22-00029-FOIA	11/16/2021	Any records pertaining to the creator of "Bitcoin" using the alias "Satoshi Nakamoto."	Other Reasons - No records
22-00030-FOIA	11/29/2021	Copy of all entries in any of the CFTC web access logs that show an IP address with the first three octets: 216.223.240 visiting a CFTC website over the past 10 years (or as far back as CFTC maintains records).	Other Reasons - No records
22-00031-FOIA	3/11/2022	1. Please provide all records that are or contain communications between Commissioner Behnam and individuals or entities outside of the United States government regarding the Report prior to its release on September 9, 2020. 2. Please provide all records that are or contain communications between any CFTC employees and individuals or entities outside of the United States government regarding the Report prior to its release on September 9, 2020. 3. Please provide all records that are or contain communications between Commissioner Rostin Behnam and CFTC employees regarding the Report prior to its release on September 9, 2020.	-
22-00032-FOIA	11/30/2021	I request a copy of the following confidential treatment requests/records: 2015-E-0000028 2015-E-0000029 2015-E-0000178 2015-E-0000179 2015-E-0000471 2015-E-0000472 2015-E-0000473 2015-E-0000474 2015-E-0000475 2015-E-0000476 2015-E-0000477 2015-E-0000478 2015-E-0000479 2015-E-0000480 2015-E-0000481 2015-E-0000482 2016-E-0001155 2016-E-0002770 2017-E-0001860 2020-E-0001203 2020-E-0001204 2017-E-0005288 2016-E-0004888 2016-E-0004889 2016-E-0004890 2016-E-0004899 2016-E-0004900 2016-E-0004901 2019-E-0000618 2019-E-0001278 2019-E-0004305 2020-E-0000226 2020-E-0000227 2016-E-0000333 2015-E-0002331 2015-E-0002332 2015-E-0002265 2016-E-0005523 2016-E-0005524 2015-PM-000010 2 2015-PM-0000106 2015-PM-0000107 2015-PM-0000111 2015-PM-0000112 2015-PM-0 000116 2015-PM-0000108 2015-PM-0000109 2015-PM-0000110 2015-PM-0000113 2015-PM-0000114 2015-PM-0000115 2015-PM-0000103 2015-PM-0000104 2015-PM-0000105	Granted/Denied in Part
22-00033-FOIA	11/30/2021	All emails received and sent to/from Rostin Behnam for the dates of Jan. 26, 2021 to Feb. 2, 2021. These should include messages sent to and received by financial organizations such as but not limited to J.P. Morgan Chase, Goldman Sachs, LBMA, etc. Personal emails may be redacted, as to we have no interest in personal matters of Mr. Behnam	Other Reasons - Records not reasonably described
22-00034-FOIA	11/30/2021	I need the results of the National Futures Association investigation case 2021COINV00624. The case was opened about August 11, 2021 and the review was completed before September 14, 2021. (b)(6) AMP GLOBAL CLEARING, a registered FCM. AMP GLOBAL CLEARING made a trade for (b)(6) I believe the trade should not have been made. AMP will not send me all of the details of the trade. I asked the NFA to help get the required trade information. An investigation was started, completed and reviewed. The NFA will not give me the results of the investigation.	Other Reasons - No records
22-00003-AP	12/7/2021	Appeal of the determination issued by the Commodity Futures Trading Commission ("Commission" or "CFTC") by letter dated September 7, 2021 ("Determination Letter"), in respect of the Freedom of Information Act ("FOIA") request, 21-00088-FOIA, which was made on April 6, 2021 ("FOIA Request").	Completely Affirmed
22-00035-FOIA	12/8/2021	I request the following records in possession of the Commodity Futures Trading Commission under the Freedom of Information Act: • All Commodity Futures Trading Commission records regarding any correspondence with Kelly Ayotte (DoB: June 27, 1968) since January 3, 2017. o Direct correspondence between the Commodity Futures Trading Commission and Kelly Ayotte should include letters, emails, text messages, reports, and other relevant materials. o Potential phone numbers include: (b)(6) o Physical addresses include: (b)(6) (b)(6) If any records are withheld or redacted, I request that you state the specific legal and factual grounds for withholding any documents or portions of documents. Please identify each document that falls within the scope of this request but is withheld from release. If requested documents are located in another office or department, I request that you please refer this request or any relevant portion of this request to the appropriate department or office. To the extent that the respondent records are available in electronic format, I would prefer to receive the information via email or CD, particularly if providing the information reduces the time or expense involved. Otherwise, I will expect to receive the information in paper form. To help assess my status for copying and mailing fees, please note that I am gathering information for research purposes and not for commercial activities. I am willing to pay all reasonable costs incurred in locating and duplicating these materials. But please contact me prior to proceeding to approve any fees or charges incurred in excess of \$50.	Other Reasons - No records
22-00004-AP	12/10/2021	Kaplan Hecker & Fink LLP ("KHF") writes to appeal the Commodity Futures Trading Commission's ("CFTC") continued denial and withholding of records responsive to Part 1 of our May 4, 2021 Freedom of Information Act ("FOIA") request (the "Request").	Completely Reversed/Remanded
22-00036-FOIA	12/14/2021	I request that a copy of the following document(s) be provided to me: 1. All records of consumer complaints filed with the CFTC about Payward Ventures, Inc. (d/b/a Kraken) (hereinafter "Kraken") from January 1, 2017 to the present. 2. All records compiled in CFTC investigations and/or administrative actions against or involving Kraken, without limitation. 3. All records of CFTC examinations of Kraken, without limitation, including agency findings and any deficiencies identified by the CFTC, as well as Kraken's response to any deficiencies.	Granted/Denied in Part
22-00037-FOIA	12/16/2021	All information regarding current/ongoing and finished investigations into Binance or Binance Holdings especially regarding the accusation of insider trading. Receiving this information via email, by a wetransfer link or a secure transfer method is sufficient in my opinion.	Denied in Full
22-00003-CONS	1/5/2022	FBI Consult re Coinbase	Granted/Denied in Part
22-00038-FOIA	1/5/2022	Information regarding Andrew Downs' Form 8-R	Granted in Full

22-00039-FOIA	1/5/2022	This is a request under the Freedom of Information Act, 5 U.S.C. § 552, I am requesting the following information and records regarding the CFTC's investigation and settlement of charges against Tether Holdings Limited, Tether Limited, Tether Operations Limited, and Tether International Limited, (collectively "Tether") (CFTC Docket No. 22-04), and iFinex Inc., BFXNA Inc., and BFXWW Inc., (collectively "Bitfinex") (CFTC Docket No.22-05) on or about October 15, 2021.	Granted/Denied in Part
22-00040-FOIA	1/5/2022	I request a list of all non-CFTC user accounts for the CFTC sFTP server. Search as far back as records are maintained.	Denied in Full
22-00041-FOIA	1/5/2022	Pursuant to a research paper on the "deliberative process privilege" (DPP), I am requesting: 1. All documents withheld under the DPP by the CFTC, and all documents in which it explains its rationales for withholding under the DPP (e.g., the original FOIA request and response, the briefs in the case), in response to all FOIA requests at issue in the following cases: a. Hunt v. Commodity Futures Trading Commission, 484 F. Supp. 47 (D.D.C. 1979). 2. Any summary tables or databases of Vaughn indices about records created before twenty-five years ago that the agency has still retained.	Other Reasons - No records
22-00042-FOIA	1/5/2022	I am requesting copies of records released under closed FOIA requests 20-00114 and 20-00125.	Granted in Full
22-00043-FOIA	1/5/2022	I am seeking the vacancy announcements of all Senior Executive Service-level positions that the CFTC has posted from January 1, 2021 through December 31, 2021, regardless of whether a selection was ultimately made for those vacancies.	Granted in Full
22-00044-FOIA	3/22/2022	Any and all records related to complaints that any individual or entity has submitted about Interactive Brokers LLC (NFA ID 258600) for the period of 07/21/2010-12/20/2021 and any resulting completed (closed) investigations by the CFTC stemming from those complaints over the specified period of time.	Other Reasons - Records not reasonably described
22-00048-FOIA	1/28/2022	Your agency's previous (FY21) and current (FY22) contract for you FOIA case processing software with cost information included. I'm interested in what your agency spends on this line of business and am analyzing it vs. other agencies to get a sense of what the federal government spends on FOIA software solutions. 2. Any additional contracts and costs directly related to FOIA processing (for example, Adobe, Video/Audio redaction software, contract support). I understand that costs can more than just your FOIA case processing software and want to paint a complete picture with my research. 3. Your agency's Annual Budget for your FOIA team- looking for a total cost of operation. I have the FTE's and costs from your annual report; however, I'm looking for the actual budget item to add to the analysis. 4. Training materials on FOIA case processing. This could be PowerPoints, Handbooks, Job Aides, Videos, Guidebooks, etc. I'm interested in comparing how agencies train their FOIA Officers to work with FOIA software.	Granted/Denied in Part
22-00049-FOIA	1/28/2022	I would like copies of any bylaws, other written rules, or legal opinions which serve as precedent governing meetings of the Commission. Please provide documents between 1/1/2010 and 1/28/2022	Granted in Full
22-00050-FOIA	1/31/2022	I request a list of all internal git repositories at the CFTC. Please consult with a subject matter expert in the IT department.	Denied in Full
22-00051-FOIA	2/1/2022	The Commitment of Traders reports currently provide the percents of open interest held by the largest four and eight reportable traders, without regard to whether they are classified as commercial or non-commercial (i.e., concentration ratios). I would like to request information or records regarding the concentration ratios for the commercial and non-commercial trader groups respectively. The time period would be from 1990 to date.	Other Reasons - No records
22-00045-FOIA	1/11/2022	A log of all requests that the CFTC has received under the FOIA, from August 1, 2020 to October 31, 2020.	Granted/Denied in Part
22-00046-FOIA	1/18/2022	Copies of the application package and materials (cover letter, resume, ECQs, writing sample, etc.) for the successful candidate for the CD-17 Chief Diversity and EEO Officer position.	Granted/Denied in Part
22-00047-FOIA	1/25/2022	All calendars or calendar entries for Rostin Behnam, including any calendars maintained on his behalf (e.g., by an administrative assistant), from January 20, 2021, through the date on which this request is fulfilled. (Date Range for Record Search: From 1/20/2021 To 1/25/2022)	Granted/Denied in Part
22-00052-FOIA	2/2/2022	I am seeking the CFTC's master list of employees who filed 278 financial disclosure reports from 2017 through 2021. This list should include both political appointees and career employees and any other officials who are required to file 278 disclosures.	Granted in Full
22-00053-FOIA	2/2/2022	Any and all records containing (b)(6)	Other Reasons - No records
22-00054-FOIA	2/2/2022	Any and all information regarding (b)(6)	Other Reasons - Request withdrawn
22-00004-CONS	2/9/2022	I respectfully request copies of the following listed items below: Yellen's Emails Regarding Domestic Finance Appointment: I am requesting releasable incoming-and-outgoing email correspondence (including attachments) of Secretary Janet Yellen's regarding the appointment of the position of Under Secretary of the Treasury for Domestic Finance from January 26, 2021, to April 28, 2021. Yellen's Emails Regarding Nellie Liang or with Nellie Liang: I am requesting releasable incoming-and-outgoing email correspondence (including attachments) of Secretary Janet Yellen's regarding Nellie Liang or email correspondence with Nellie Liang from January 26, 2021, to April 28, 2021. Adeyemo's Emails Regarding Domestic Finance Appointment: I am requesting releasable incoming-and-outgoing email correspondence (including attachments) of Deputy Secretary Wally Adeyemo's regarding the appointment of the position of Under Secretary of the Treasury for Domestic Finance from March 26, 2021, to April 28, 2021. Adeyemo's Emails Regarding Nellie Liang or with Nellie Liang: I am requesting releasable incoming-and-outgoing email correspondence (including attachments) of Deputy Secretary Wally Adeyemo's regarding Nellie Liang or email correspondence with Nellie Liang from March 26, 2021, to April 28, 2021. Nisanci's Emails Regarding Domestic Finance Appointment: I am requesting releasable incoming-and-outgoing email correspondence (including attachments) of Chief of Staff Didem Nisanci's regarding the appointment of the position of Under Secretary of the Treasury for Domestic Finance from January 20, 2021, to April 28, 2021. Nisanci's Emails Regarding Nellie Liang or with Nellie Liang: I am requesting releasable incoming-and-outgoing email correspondence (including attachments) of Chief of Staff Didem Nisanci's regarding Nellie Liang or email correspondence with Nellie Liang from January 20, 2021, to April 28, 2021. Johnson's Emails Regarding Domestic Finance Appointment: I am requesting releasable incoming-and-outgoing email correspondence (including attachments) of Deputy Chief of Staff Alfred I. Johnson's regarding the appointment of the position of Under Secretary of the Treasury for Domestic Finance from January 20, 2021, to April 28, 2021. Johnson's Emails Regarding Nellie Liang or with Nellie Liang: I am requesting releasable incoming-and outgoing email correspondence (including attachments) of Deputy Chief of Staff Alfred I. Johnson's regarding Nellie Liang or email correspondence with Nellie Liang from January 20, 2021, to April 28, 2021. Siegel's Emails Regarding Domestic Finance Appointment: I am requesting releasable incoming-and-outgoing email correspondence (including attachments) of Deputy Chief of Staff Julie Brinn Siegel's regarding the appointment of the position of Under Secretary of the Treasury for Domestic Finance from January 20, 2021, to April 28, 2021. Siegel's Emails Regarding Nellie Liang or with Nellie Liang: I am requesting releasable incoming-and outgoing email correspondence (including attachments) of Deputy Chief of Staff Julie Brinn Siegel's regarding Nellie Liang or email correspondence with Nellie Liang from January 20, 2021, to April 28, 2021.	Granted/Denied in Part

22-00055-FOIA	2/10/2022	My name is (b)(6) and I am reaching out on behalf of (b)(6) who is requesting information from his previous licenses - a Series 7 and 24 (I believe). We need the details of (b)(6) dates of registration and de-registration, license number, and detailed reason for termination of license.	Other Reasons - Referrals
22-00056-FOIA	2/11/2022	On December 16, 2021 a Commodity Futures Trading Commission (CFTC) was posted on the Federal Register: The Commodity Futures Trading Commission (CFTC or Commission) is establishing a new system of records, CFTC-57, Reasonable Accommodations Records, to receive, track, process, and report on requests for reasonable accommodations. Pursuant to the Freedom of Information Act, I respectfully request the following documents (or documents containing the following information): 1. A screenshot of the system of records sufficient to identify all categories of collected information. Please redact all personally identifiable information. 2. Documents sufficient to identify the total number of individuals who have their information stored in the system of records. To the extent that potentially responsive documents contain agency notes or information on internal agency deliberations, I respectfully request that these records be provided with such information redacted. Additionally, if you believe that any potentially responsive records include any personal, commercial, or proprietary information, I respectfully request that these records be provided with such information completely redacted.	Other Reasons - No records
22-00057-FOIA	2/15/2022	Any and all complaints, disciplinary actions, human resources disputes, lawsuit complaints, settlements related to (b)(6) (b)(6) especially with regards to an allegation of age discrimination related to firing/layoffs/early retirements. Any and all of the same with respect to (b)(6) (CFTC 2017-2019) and (b)(6) (2005-2021) as well. Further requesting compensation for all three.	Denied in Full
22-00058-FOIA	2/15/2022	I request all emails to and from (cc, bcc) employees in the CFTC's Office of Legislative and Intergovernmental Affairs and any email address affiliated with the U.S. Senate that include the following keyword: "Tuberville." The timeframe for this request is from Sept. 1, 2021 to Feb. 13, 2021.	Granted/Denied in Part
22-00059-FOIA	2/15/2022	Any and all email correspondence, letters, and memorandums sent by staff members of DMO and the Chairman's office related to contracts self-certified by KalshiEX LLC between the dates June 29, 2021 and August 1, 2021. The dates cited here refer to the days on which Kalshi notified the Commission that it was self-certifying the terms and conditions of the contract.	Granted/Denied in Part
22-00060-FOIA	3/1/2022	Requesting all written correspondence (including, but not limited to, emails and text messages) between the CFTC and LedgerX LLC, as well as any internal CFTC communications (including, but not limited to, emails, text messages, memos, reports, and briefings) or CFTC communications with third parties mentioning or relating to LedgerX LLC. Date range for record search: 1/1/2017 to 12/31/2019.	Other Reasons - Records not reasonably described
22-00061-FOIA	2/18/2022	The CFTC filed suit against Defendants David Gilbert Saffron aka David Gilbert and Circle Society, Corp. in 2:19:CV-1697-JAD-DJA in the US District Court, District of Nevada (the "claim"). I seek the following certified copies of the referenced records: 1. All records compiled during your investigations prior to the filing of the claim against the Defendants; 2. Records compiled during the investigation after the claim was filed against Defendants; 3. Records you provided to Defendants pursuant to discovery requests in the claim; 4. Consumer complaints relating to or against the Defendants; 5. Any findings or public reports regarding the Defendants; 6. All witness statements relating to any complaint against the Defendants or the claim; 7. All correspondence you sent to or received from the Defendants or Defendants representatives prior to the filing of the complaint; and 8. Any criminal records relating to the Defendants or Defendants representatives.	Denied in Full
22-00062-FOIA	2/22/2022	I request a copy of all video of John D. Arnold testifying before the CFTC on August 5th 2009.	Granted in Full
22-00005-AP	2/22/2022	I am a salaried journalist for the Financial Times, so I'm not sure why I would not qualify as "a person primarily engaged in disseminating information" and with an "urgency to inform the public concerning actual or alleged Federal Government activity." I am trying to schedule an interview with the subjects at issue in this FOIA request for a story related to a potential pattern of conduct in former roles at CFTC and their current ones. I need this information as soon as possible in order to give my interviewee the chance to respond to factual allegations that may exist in those records, which	Completely Affirmed
22-00063-FOIA	2/23/2022	I am requesting lease data on all office space that CFTC leases directly from a private owner/building (i.e., those leases where CFTC is located in a non-City/County/State-owned building). Please note that this excludes leases negotiated through the General Services Administration (GSA). 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 - Property Name - Property Address - Property City - Property State - Property Zip Code - Property Rentable SF - Property Usable SF - Lease Number - Agency Name - Agency Rentable SF - Agency Usable SF - Lease Type (Office, Storage, Warehouse, etc.) - Lease Effective Date - Lease Expiration Date - Current Annual Rent - Renewal Options - Renewal Notice Date - Renewal Notice Type - Owner Contact Name - Owner Address - Owner City - Owner Zip Code - Owner Phone Number - Latitude/Longitude.	Other Reasons - No records
22-00064-FOIA	3/7/2022	This request concerns materials which are in the actual or constructive possession of the Commodity Futures Trading Commission (CFTC) in connection with its investigation and court action in a case styled: United States Commodity Futures Trading Commission, plaintiff v. Energy Transfer Partners, LP; Energy Transfer Company (a/k/a La Grange Acquisition, LP); ETC Marketing, LTD and Houston Pipeline Company, defendants in cause number 3-07-CV-1301-K in the United States District Court for the Northern District of Texas. By this request under FOIA, the requestor seeks: all documents (such term includes all materials, whether on paper or which were made or stored electronically or digitally) which were created, drafted, acquired or otherwise obtained or maintained by the CFTC or any agent thereof, in connection with the above-styled case as well as all such documents and materials which exist in connection with the investigation which preceded the filing of the case or which were made or acquired contemporaneously with the action in the civil case. This request includes, but is not limited to: reports of interview (ROI) of witnesses, witness statements, witness testimony (whether sworn or otherwise) and affidavits of all witnesses; charts, graphs and the electronic presentation or configuration of all charts and graphs; documents which reflect income and profits made by any of the defendants in connection with commodities trades which were the subject of the above case and investigation; wiring diagrams and other depictions which show the corporate structure of the defendant entities including the names of officers and other employees of the defendants.	Granted/Denied in Part
22-00065-FOIA	3/8/2022	2011-Present 1) All documents related to any action taken by Commodity Futures Trading Commission] regarding the digital asset XRP (sometimes known as "Ripple") and/or regarding and/or against Ripple Labs, Inc., including but not limited to any enforcement action, investigation, assessment of a penalty and/or fine, and/or any other action undertaken by Commodity Futures Trading Commission. 2) All documents related to any action taken by the Commodity Futures Trading Commission against and/or regarding Payward, Inc.(d/b/a Kraken) and/or Payward Ventures Inc. (d/b/a Kraken) and/or Payward Ventures, Inc. (d/b/a Kraken), including but not limited to any enforcement action, investigation, assessment of a penalty and/or fine, and/or any other action undertaken by Commodity Futures Trading Commission. This request includes but is not limited to all documents related to In the	Granted/Denied in Part

22-00066-FOIA	3/1/2022	I request all emails to and from (cc, bcc) employees in the CFTC's Office of Legislative and Intergovernmental Affairs and any email address affiliated with the U.S. Senate that include the following keyword: "Tuberville." The timeframe for this request is from Jan. 1, 2021 to Sept. 1, 2021 (Date Range for Record Search: From 1/1/2021 To 9/1/2021)	Other Reasons - No records
22-00005-CONS	3/3/2022	The Department of Treasury (Treasury) is currently in litigation with American Oversight to obtain Treasury's senior leaders detailed calendar entries. During our review, we located two pages that contain Commodity Futures Trading Commission equities, enclosure 1. Enclosures 2 and 3 contain a copy of American Oversight's original FOIA request and complaint. Please review the documents, make any needed redactions, and return your response to our office by March 16, 2022, for us to meet our production schedule. Please let me know if you have any questions. Best, Alexis Colon (contractor)	Granted in Full
22-00067-FOIA	3/2/2022	I am requesting any and all records pertaining to Marex North America LLC (MNA), including but not limited to all communications, correspondence, violations, reports, acquisitions, and similar documents ranging from January 1st, 2019 to the present date [Mar. 1st, 2022] (Date Range for Record Search: From 1/1/2019 To 3/1/2022)	Denied in Full
22-00068-FOIA	3/9/2022	Relevant to G535F0165Y Order 9523ZY18F0212 (CFTC) we seek copies of the following (1) Task Order with applicable Statement of Work/Performance Work Statement (SOW/PWS), Labor rates/categories, all modifications, Bidders list, and all purchase orders (2) List of companies who submitted proposals (3) winning proposal (4) Customer evaluation including agency evaluation/scoring notes for all submitter proposals and (5) original and complete TORFO with all amendments, attachments and exhibits	Granted/Denied in Part
22-00069-FOIA	3/9/2022	positions for Californian allowances. Is there an excel were I can look up the history? https://www.cftc.gov/dea/futures/deaifedsf.htm	Other Reasons - Public Records
22-00070-FOIA	3/14/2022	I looking to obtain a full list of all CFTC registered CTAs and CPOs as of either 12/31/2020 or 12/31/2021. My preferred format is Excel. I am willing to pay whatever the cost is to process my FOIA request, including any expediated fee	Other Reasons - Public Records
22-00071-FOIA	4/5/2022	All emails sent or received by employees of your agency between December 1, 2014 and the date this request is processed containing the non-case-sensitive phrase "shitcoin." Please include any attachments to the emails as well. If any part of these documents from disclosure, please be sure to review and release all reasonable segregable non-exempt portions of responsive documents, as the FOIA requires. (Date Range for Record Search: From 12/1/2014 To 3/22/2022)	Other Reasons - Records not reasonably described
22-00072-FOIA	3/28/2022	Does your agency publish legal notices in the Washington Post? If so, does it pay for each individual legal notice, or does it have a contractual arrangement with the Washington Post?	Other Reasons - Not a proper FOIA request for some other reason
22-00073-FOIA	3/29/2022	I request the department provide the following records within 20 business days: For all employees who entered into a position at the agency since January 2017. Any conflicts or ethics waivers or authorizations for the individual, including authorizations pursuant to 5 C.F.R. § 2635.502 and pursuant to 18 U.S. Code § 208(b). Any records related to any request determination made or issued for the individual	Granted/Denied in Part
22-00074-FOIA	3/29/2022	Any information, files regarding CME group's NOTICE OF DISCIPLINARY ACTION in case# 22-CH-2201	Other Reasons - No records
22-00002-FPA	3/29/2022	REQUESTING INFORMATION ABOUT MYSELF, MY MASTER FILE NUMBER: (b)(6) AND MY PASSPORT INFORMATION. ALSO, I WILL SEND CERTIFICATE OF IDENTITY IN REGARDING THIS MATTER	Other Reasons - Not a proper FOIA request for some other reason
22-00006-CONS	3/31/2022	A copy of: any materials from Jan. 20 to present related to "representation funds", which are used to pay for the secretary's executive dining room or other expenditures related to the executive dining room or the dining in the secretary's conference room; the allocated amount for that expense category as well as how much has been used by Secretary Mnuchin and others from Jan. 20 to present; any schedules for who Mnuchin and others had breakfast, lunch and dinners with since Jan. 20; any emails or other internal communications related to the use and management of representation funds for the exec. dining room. Treasury has discovered 12 pages of responsive materials which relate to CFTC and required agency review.	Granted in Full
22-00075-FOIA	4/4/2022	Requesting all written correspondence between CFTC Chairman Christopher Giancarlo (and his staff, including assistants) and LedgerX LLC, and any internal communication between Mr. Giancarlo and his staff discussing LedgerX LLC, and any external communication between Mr. Giancarlo or his staff with third parties that mention or relate to LedgerX LLC between 1/1/ 2017 and 12/31/2019. (Date Range for Record Search: From 1/1/2017 To 12/31/2019)	Granted/Denied in Part
22-00076-FOIA	4/5/2022	Pursuant to the Freedom of Information Act, I hereby request the following records: a list of all Inspector General investigations that were closed in 2019, 2020, and 2021, respectively. I request that this list contain the subject matter of each investigation. Further, I request that this document be sent in any digital format in which it exists (such as PDF and Excel)	Other Reasons - Public Records
22-00077-FOIA	4/5/2022	Any report, including any and all attachments, arising from the 2021 management inquiry related to the CFTC's Kansas City Regional Office.	Denied in Full
22-00078-FOIA	4/6/2022	We request all correspondence between the CFTC and any contacts at 1) @mobiusriskgroup.com and/or 2) @armenergy.com and/or 3) @assetriskmanagement.com Time period 7/1/2021 to present	Denied in Full
22-00079-FOIA	4/26/2022	1. List of all correspondence between CFTC and the law firm Simpson Thatcher. 2. List of all correspondence between CFTC and any email address that originates with "stblaw.com". 3. List of all correspondence containing the words "XRP" and "Ethereum". 4. List of all correspondence to or from William Hipman	Other Reasons - Records not reasonably described
22-00080-FOIA	4/12/2022	Please provide me with: 1) your agency's written policy document governing the publication of legal notices either in print or online; 2) at least one legal notice published by your agency in the Washington Post since January 1, 2021.	Other Reasons - Public Records
22-00081-FOIA	4/12/2022	1. All email communications (including emails, email attachments, complete email chains, calendar invitations, and calendar invitation attachments) sent or received by any of the agency officials listed below containing any of the following key terms: Key Terms: a. "Thomas Clerk" b. "Clerk World" c. "Ginni Thomas" d. "Justice Thomas" e. "Clarence Thomas" f. Clanton g. Groundswell h. "Liberty Consulting" i. "CNP Action" j. "Council for National Policy" k. "Conservative Action Project" l. "United in Purpose" m. UIP n. Ziklag o. "Third Century Group" 2. All email communications (including emails, email attachments, complete email chains, calendar invitations, and calendar invitation attachments) and text messages or messages on messaging platforms (such as Slack, GChat or Google Hangouts, Lync, Skype, Twitter direct messages, Facebook messages, WhatsApp, Signal, Telegram, or Parler) between (a) the agency officials listed below or any person communicating on their behalf, such as schedulers or assistants, and (b) Virginia "Ginni" Thomas or any person communicating on her behalf, including but not limited to Crystal Clanton, communications from an email address ending in @libertyinc.co, or a phone number with the last four digits 8983. Agency Official(s) a) Heath Tarbert. (Date Range for Record Search: From 1/20/2017	Granted/Denied in Part
22-00082-FOIA	4/18/2022	I request a copy of the letter entitled "Questions re: Treasury Markets" dated May 8th 2020 from Renaissance Technologies LLC. Petal Walker, an attorney for Renaissance, requested confidential treatment of the letter on May 8th 2020 in a letter to the Assistant Secretary of the Commission for FOIA Matters. I do not believe that the letter meets the requirements for B4 protection under FOIA	Denied in Full

22-00083-FOIA	5/6/2022	Any and all correspondence (handwritten and/or typed) between the Commodity Futures Trading Commission (CFTC) and The Brooklyn Project; Ethereum Foundation; ConsenSys; Crypto Working Group (CWG); Messari; and/or Andreessen Horowitz (a16z) relating to the digital asset ether (ETH) between November 1, 2017 and June 30, 2018. (Date Range for Record Search: From 11/1/2017 To 6/30/2018)	Granted/Denied in Part
22-00084-FOIA	5/2/2022	I am requesting digital copies of several documents related to No Action Letters issued to the George R. Neumann at the University of Iowa and documents related the No Action letters issued to Victoria University of Wellington, New Zealand. The documents I am requesting are as follows: The first two are listed here: https://www.cftc.gov/foia/repfoia/foir05-003_1.htm DOCUMENT NUMBER: 1 George R. Neumann, University of Iowa, to Chairman Gramm, Concerning 1992 Iowa Presidential Stock Market DATE: 12/05/1991 PAGES: 2 PDF SIZE: 226 KB PDF LINK: DOCUMENT NUMBER: 3 George R. Neumann, University of Iowa, to Tina P. Shea, Division of Trading and Markets, Concerning Iowa Electronic Markets, IEM Trader's Manual Attached DATE: 03/16/1993 PAGES: 53 PDF SIZE: 2070 KB PDF LINK: Finally, I would like a copy of the following: (C) 21-00011 Request for No-Action	Other Reasons - No records
22-00085-FOIA	5/20/2022	I hereby request the following records: All documents, emails, reports, notes and information relating to Alameda Research, a quantitative cryptocurrency research firm established by Sam Bankman-Fried and the cryptocurrency exchange known as FTX.	Other Reasons - Records not reasonably described
22-00086-FOIA	5/9/2022	Public records under the control of a Federal government agency from which information about me as a legal subject is being retrieved by name or by some identifying number, symbol, or other identifying particular assigned to the individual.	Other Reasons - No records
22-00087-FOIA	5/6/2022	1. All relevant correspondence (handwritten and/or typed) between the CFTC and ConsenSys' The Brooklyn Project regarding The Brooklyn Project's proposed implementation of a self-regulatory blockchain system containing the cryptocurrency ether ("ETH" or "Ethereum") on or around May 10, 2018. We specifically request that the CFTC search for records responsive to this request within the CFTC's Division of Enforcement (DOE), the Division of Clearing and Risk (DCR), the Division of Market Oversight (DMO), and the Division of Data (DOD). 2. All relevant correspondence (handwritten and/or typed) between the CFTC and the Ethereum Foundation regarding discussions of Ethereum's proposed ETH-based futures contract to promote ETH's institutional adoption and/or implementation of ETH's digital currency exchange-traded fund ("ETF") on or around May 7, 2019. We specifically request that the CFTC search for records responsive to this request within the CFTC's Division of Market Oversight (DMO) and the DMO's Product Review Branch. 3. All relevant notes (handwritten and/or typed) related to meetings between the CFTC and ConsenSys, Joseph Lubin, and/or the U.S. Securities and Exchange Commission ("SEC") regarding Ethereum, including but not limited to notes concerning the CFTC's calls with the SEC on April 10, 2018, July 19, 2018, and August 22, 2018, respectively. We specifically request that the CFTC search for records responsive to this request within the CFTC's Division of Enforcement (DOE), the Division of Clearing and Risk (DCR), the Division of Market Oversight (DMO), and the Division of Data (DOD). 4. All relevant correspondence (handwritten and/or typed) between former CFTC Chairman Heath Tarbert and ConsenSys and/or Joseph Lubin regarding and preceding Chairman Tarbert's decision to declare ether a commodity at the Yahoo! Finance All Markets Summit in New York, New York on October 10, 2019. We specifically request that the CFTC search for records responsive to this request to/from former CFTC Chairman Heath P. Tarbert, the Office of the Chairman, and the Executive Leadership Team. 5. All relevant correspondence (handwritten and/or typed) between the CFTC and the President's Working Group on Financial Markets ("PWG") regarding the "protocol token" ETH ahead of the Hearing before the House of Representatives Committee on Agriculture (115th Congress) on July 18, 2018, and/or the CFTC's call with PWG and former U.S. Treasury Secretary Steven Mnuchin on or around December 24, 2018. We specifically request that the CFTC search for records responsive to this request within the CFTC's Office of the Chief Economist (OCE), the LabCFTC office, and the Division of Market Oversight (DMO). 6. All relevant correspondence (handwritten and/or typed) between the CFTC and Messari, Inc. ("Messari") regarding the digital asset ETH, and/or the CFTC and Messari's "effortsemerging with significant traction" related to self-regulatory-focused discussions surrounding crypto assets on or around the time of Steven Hatzakis' February 20, 2018 Comment for Orders and Other Announcements 83 FR 4643, available to the public on the CFTC's website. We specifically request that the CFTC search for records responsive to this request within the CFTC's Technology Advisory Committee (TAC) and its affiliated subcommittees, the Distributed Ledger and Market Infrastructure Subcommittee and Virtual Currencies Subcommittee. 7. All relevant correspondence (handwritten and/or typed) between the CFTC and Andreessen	Granted/Denied in Part
22-00088-FOIA	5/10/2022	A digital copy of the approved KalshiEX LLC Application for Designation as a Designated Contract Market (DCM).	Granted in Full
22-00006-AP	5/10/2022	I raise two issues on appeal. First, the requested disclosure was for all whistleblower awards, not merely the ones issued to whistleblowers represented by counsel. Second, the CFTC's statement that revealing the identity of the attorney will "reasonably be expected to reveal the identity [of] a whistleblower" is incorrect.	Partially Affirmed & Partially Reversed/Remanded
22-00089-FOIA	5/11/2022	copies of emails sent and/or received by former Chairman Heath Tarbert. Please provide me with the following: -Any emails since 01/01/2017 that Mr. Tarbert sent to or received from Virginia "Ginni" Lamp Thomas or Justice Clarence Thomas. (Please include any emails sent to/received from Ms. Lamp Thomas using the address vlthomas@libertyinc.com but please do not limit your search to this address.)	Granted/Denied in Part
22-00007-CONS	5/12/2022	"On November 12, 2022 [sic], a Notice by the General Services Administration (SSA) [sic] was posted on the Federal Register that: "This system of records clarifies GSA's procedures and authority to collect information related to reasonable accommodations. It does not create new authority to collect such information." The notice can be located at https://www.federalregister.gov/documents/2021/11/12/2021-24685/privacy-act-of-1974-nw-system-of-records-for-the-period-of-august-1-2021-to-the-present-all-communications-to-include-emails-and-text-messages-exchanged-between-or-amongst-gsa-employees-and-white-house-staff-the-national-institute-of-health-the-office-of-management-and-budget-the-occupational-safety-and-health-review-commission-and-the-occupational-safety-and-health-administration-regarding-the-reference-noticed-from-november-12-2022-document-number-2021-24685-etc.- " Please see the initial request for the full description. GSA requests the Commodity Futures Trading Commission (CFTC) consultation/review of these 383 pages before release. If CFTC determines that any portion(s) of these pages should be redacted or withheld, please provide the proposed redactions and explanation(s) for the proposed FOIA exemptions. Please provide your response regarding the release of these documents on or before COB Friday, June 10, 2022. Should you have any questions, don't hesitate to contact the FOIA Program Manager, Travis Lewis at (202) 219-3078 or by email at travis.lewis@gsa.gov . You may also contact the GSA FOIA Public Liaison, Seth Greenfeld, at (202) 501-4560 or by email at seth.greenfeld@gsa.gov for any additional assistance and to discuss any aspect of this Consultation.	Granted in Full
22-00090-FOIA	5/19/2022	Requesting all Swaps Reports for the months of January, February, March, April, May, and June of 2021.	Other Reasons - Public Records
22-00091-FOIA	5/22/2022	A copy of each (internal) FOIA Standard Operating Procedure (SOP) at the CFTC FOIA Office. Please apply the foreseeable harm test, and discretionary release of what might otherwise be considered records exempt under b(5), and the presumption of openness.	Granted in Full
22-00092-FOIA	5/24/2022	additional information regarding the regulatory disclosures on the documents of the most recent Annual Update for Causeway Capital Management LLC ("CCM") (#449356); and copies of the 8Rs for two of CCM's principals - Gracie Varras Fermelia ("Fermelia") (#450011) and Sarah Hotchkis Ketterer ("Ketterer") (#449356).	Granted in Full

22-00093-FOIA	5/25/2022	a copy of the order filing and settling charges, along with any exhibits or appendices thereto, that is described in the Commission's press release re Glencore (linked to below)? https://www.cftc.gov/PressRoom/PressReleases/853d-22	Other Reasons - Public Records
22-00094-FOIA	6/1/2022	Any and all records of the Commodity Futures Trading Commission ("CFTC") and/or any enforcement department thereof in connection with the investigation, negotiation, settlement, offer of settlement, enforcement action, and/or fines/payment(s), of any alleged violations for wash sales made by SummerHaven Investment Management, LLC, SummerHaven Index Management, LLC and SummerHaven Capital, LLC, between July 1, 2018 through present. (Date Range for Record Search: From 7/1/2018 To 6/30/2022)	Granted/Denied in Part
22-00004-FPA	6/14/2022	I was invited by the government to apply for a SES role (not at the CFTC), which is posted with a very short turnaround. The application is due Wednesday. I am writing my application, and would greatly appreciate it if you would send me today: • My position description, and • My employment reviews • Which background check level did I complete (something like Trusted Employee, but I need exact name)	Granted in Full
22-00102-FOIA	6/16/2022	I request that a copy of the below documents and correspondence: 1. All FOIA requests the CFTC has received and all FOIA responses the CFTC has sent regarding FOIA inquiries into CFTC Release number 8450-21 (15 October 2021).	Granted in Full
22-00103-FOIA	6/22/2022	Please see attached request.	Granted in Full
22-00104-FOIA	7/10/2022	All records regarding Whileon Clay and 4X Solutions, Inc. I represent (b)(6) from their Panama Bank account and who were defrauded by Whileon and Melinda Clay and 4X Solutions.	Other Reasons - Records not reasonably described
22-00105-FOIA	6/27/2022	Persuant to the Freedom of information act, I hereby request documents (letters/emails) concerning or related to the proposed "memorandum of understanding" regarding crypto currency enforcement between the Securities and exchange commission (SEC), and the Commodities and Futures Trading Commission (CFTC). Such insight would be in the publics interest, and would serve to strengthen public confidence in these respective agencies when it comes to enforcement.	Other Reasons - No records
22-00106-FOIA	6/29/2022	request for all complaints, tips and referrals regarding precious metal fraud (i.e. the fraud described in this advisory) filed from 2019-present. This request should include, but is not limited to: • A unique ID number for each report filed • The date when the report was made • The name of the individual/company the complaint was about • The zip code, city and state of the individual/company mentioned in the complaint • A description/narrative of the complaint • Whether the individual filing the complaint has taken legal action (please include a yes/no column) • Whether the investigation into the complaint is open, closed or pending • Whether the complaint was substantiated (please include a yes/no column).	Other Reasons - Records not reasonably described
22-00008-AP	6/30/2022	The basis for this FOIA appeal is that the CFTC has misapplied FOIA exemptions (b)5, (b)6, and b(7)C, and has applied those exemptions in an overly broad manner by failing to provide all nonexempt segregable portions of the responsive records to this FOIA request, and has violated the FOIA statute by failing to undertake an adequate search, in all applicable agency systems of records, to locate all responsive records to our client's October 20, 2020 FOIA records request.	Completely Affirmed
22-00095-FOIA	5/27/2022	I am the attorney representing the (b)(6) commodities. We need all information related to (b)(6) He was known to carry business in the U.S. notably by trading that your Department may have so we can pursue his rights, if any.	Other Reasons - Not an agency record
22-00007-AP	6/1/2022	the CFTC should produce all responsive documents withheld pursuant to Exemptions 3, 7(C), 4, 5, 8, and 7(A) unless they provide a description of the nature of the responsive documents and demonstrate the basis of the exemptions.	Completely Affirmed
22-00096-FOIA	6/1/2022	I request that a copy of all documents and emails containing the following information be provided to me: 1. Assistance provided to your agency by foreign authorities in the form of emails and documents in relation to the CFTC's investigation of the following entities: a. Tether Holdings Limited b. Tether Limited c. Tether Operations Limited d. Tether International Limited e. iFinex Inc. f. BFXNA Inc. g. BFXWW Inc. (d/b/a Bitfinex) h. Bitfinex 2. In CFTC Release number 8450-21, dated 15 October 2021, the CFTC thanked the below foreign authorities for assistance with the investigation. The background of this case can be found in CFTC Release 8450-21. According to the CFTC release, the following agencies / foreign authorities provided support to the CFTC: a. Securities Commission of The Bahamas b. British Virgin Islands Financial Services Commission c. Ontario Securities Commission d. Superintendencia del Mercado de Valores de Panama e. Comissão do Mercado de Valores Mobiliários (the Portuguese Securities Market Commission) f. Financial Services Authority Seychelles Please provide all documents and emails provided by these foreign authorities to the CFTC concerning this investigation between January 1 2014 and May 31 2022.	Denied in Full
22-00003-FPA	6/13/2022	I am requesting all submissions regarding my identity as well as notice of covered actions that resulted from my tip and any awards.	Other Reasons - Not a proper FOIA request for some other reason
22-00100-FOIA	6/11/2022	I'd like to request all trades submitted to the CFTC since P43 and P45 went live in 2013. Although the CFTC website includes weekly reports, it's missing a few key fields I require, including price fields and the ISDA taxonomy. Moreover, it does not include data submitted as part of P43. To summarize, I would like to request all trade and trade data submitted to the CFTC as part of P43 and P45. Please let me know if you have any questions.	Other Reasons - Public Records
22-00101-FOIA	6/14/2022	All communications, calendar invites and attachments from the individuals or email domains below to or from any political appointees at the Commodity Futures Trading Commission using any of the below terms in the email or in the subject line: Individuals: • Brendan Dunn • Rachel Barry • Samantha Dezur • Kathryn Fulton • Justin Daly • Erik Johnson • John A. Anderson • Mitchell L. Feuer • Tom Koonce • Rashawn Mitchell • Andrew C. Palmer • Peter D. Rich • Jared Sawyer • Amanda Slater • Barbara Novick • Bryan Wood • Rebecca Burch • Jeff Levey (Date Range for Record Search: From 1/21/2021 to 6/14/2022)	Granted/Denied in Part
22-00005-FPA	6/30/2022	Please provide to me all original signed agreements between (b)(6) and CFTC and/or its subsidiaries (sub-corporations). All records pertaining to any dollar exchange agreed between both parties,(b)(6) and U.S. Department of Education and/or its subsidiaries (sub-corporations). Any statements of open or closed accounts within the CFTC and/or its subsidiaries (subcorporations) for (b)(6) that reflects any/all balance of (b)(6)	Other Reasons - Records not reasonably described
22-00107-FOIA	6/30/2022	information or records, specifically the following CFTC-approved regulated futures contracts: ? December 20, 1983: Chicago Mercantile Exchange (CME) – Gold Coins ? December 20, 1983: Commodity Exchange, Inc. (COMEX) – Gold Coins ? July 18, 1975: Chicago Mercantile Exchange (CME) – U.S. Silver Coins ? July 18, 1975: MidAmerica Commodity Exchange (MCE) – U.S. Silver Coins ? July 18, 1975: New York Mercantile Exchange (NYMEX) – U.S. Silver Coins If any of the above information cannot be located, I would accept any documents sufficient to show which precious metal coins have been removed for CFTC futures contracts.	Other Reasons - Public Records
22-00108-FOIA	7/11/2022	Please provide the following documents: Form TCR('s) (including supporting documents) submitted for "Notice of Covered Action No. 2021-001 – Coinbase Inc." Electronic versions of any documents are acceptable and should be sent to george.dowd@gdowd.law	Granted/Denied in Part

22-00109-FOIA	7/12/2022	I would like to request both the original application for approval, and the CFTC official approval letter/report for the CFTC's approval of the following Futures contracts; 1. The CME's S&P 500 Stock Price Index, E-Mini Contract – formally approved by the CFTC on July 28, 1997. 2. The CME's Nasdaq 100 Index, E-Mini Contract – formally approved by the CFTC on May 13, 1999. 3. The CBOT's Mini-Sized Dow (\$5 multiplier) Contract – formally approved by the CFTC on March 25, 2002. I agree to pay any search, review, or copying fees that may be incurred in processing this request up to a maximum of \$500.	Granted/Denied in Part
22-00110-FOIA	7/28/2022	All submissions related to my identity and all awards, notice of covered actions, all correspondence to and from the whistle-blower etc related to my identity directly or indirectly, and or my submissions to the whistle-blower that was shared with the whistleblower commission and all of my tips, and the whistle-blower submitted to the whistle-blower Everything related to my identity	Granted in Full
22-00111-FOIA	7/14/2022	I request disclosure from the CFTC the following records: 1. Copies of the last 50 emails sent and received by the Chairman of the CFTC and the four commissioners mentioning or referring to "crypto," "cryptocurrency," "digital assets," "bitcoin," and any other digital currency. The timeframe for this request is April 1, 2022 through the date the search for responsive records is conducted. 2. From the Office of Legislative and Intergovernmental Affairs, a copy of each letter received by CFTC from a congressional committee or member of Congress and any responses sent. The timeframe for this part of my request is January 1, 2022 through the date the search for responsive records is conducted	-
22-00097-FOIA	6/8/2022	On June 27, 2013 the CFTC filed a complaint in federal court (USDC SDNY) versus MF Global, Inc., MF Global Holdings LTD, Jon S. Corzine, and Edith O'Brien. The case number is U.S. Commodity Futures Trading Commission v. MF Global Inc. et al Assigned to: Judge Victor Marrero Lead case: 1:11-cv-07866-VM-RWL Member case: (View Member Case) Related Case: 1:11-cv-07866-VM-RWL Cause: 15:78m(a) Securities Exchange Act. The complaint includes multiple references to recorded conversations between various executives at the firm. "Firm employees, including Corzine, communicated with one another, sometimes by email and sometimes on recorded telephone lines, concerning the Firm's dire situation." I am requesting copies of these recordings and transcripts of the recordings that took place between the executives between June 1, 2011 and November 15, 2011 that are the basis for this complaint and that are in some cases quoted in this complaint. (Date Range for Record Search: From 6/1/2011 To 11/15/2011)	Granted/Denied in Part
22-00098-FOIA	6/9/2022	I would like information about agricultural commodities (Corn-Wheat-Soybean). Precisely the history of futures contracts and options (put and calls) executed from 2004-2022. If you would be so kind, it is for educational reasons, to make a comparison with the Argentine market	Other Reasons - Public Records
22-00099-FOIA	7/7/2022	• Any files, reports, memoranda, examinations, and/or evaluations created by the CFTC's Division of Enforcement ("DOE") concerning Soft Red Winter ("SR W") wheat futures contracts traded on the Chicago Board of Trade ("CBOT") between September 1, 2017 and May 31, 2018 by either The Andersons, Inc. ("The Andersons") and/or Cargill, Inc. ("Cargill"); • Any documents transmitted to DOE in connection with a DOE investigation of The Andersons' and/or Cargill's trading of SRW wheat futures contracts between September 1, 2017 and May 31, 2018; • All "Large Trader" reports, filed with the CFTC pursuant to 17 C.F.R. § 17.00 et seq., concerning transactions in SRW wheat futures executed between September 1, 2017 and May 31, 2018; • All Form 40 reports filed with the CFTC pursuant to 17 C.F.R. § 18.04 et seq., concerning SRW wheat futures traders between September 1, 2017 and May 31, 2018; and • All Form 204 reports filed with the CFTC pursuant to 17 C.F.R. § 19.01 et seq., concerning SRW wheat futures traders	Denied in Full
22-00112-FOIA	7/14/2022	1. All copies of UNPUBLISHED/NOT PUBLICLY RELEASED DIG investigations reports and OIG audits (report of investigation, final report, closing memo, referral letter, concerning misconduct, actual or alleged, security breaches, insider threats whistleblower complaints, referrals from other agencies, correspondence, investigative notes, interviews, statements from witnesses, transcripts taken during investigation, affidavits, copies of all subpoenas issued and responses thereto, interrogatories and responses thereto, reports, internal staff memoranda, staff working papers and other documents and records or copies obtained or relating to complaints and investigations) including supporting material and exhibits. The timeframe for the first part of this request is January 1, 2021 through the date the search for responsive records is conducted	Granted/Denied in Part
22-00113-FOIA	7/9/2022	A copy of each investigation report provided to the Executive Director of CFTC during the time period January 1, 2017 to the present. You may OMIT from the scope of this request the ENCLOSED investigation report from 2017, which is provided as an example only.	Other Reasons - No records
22-00114-FOIA	7/11/2022	I'm requesting the data to swaps from the CFTC from the period of 2021 to current. They currently have disabled reporting this data publicly until 2023. The specific companies I'm requesting data on are those listed as being held by Citadel Securities Over the Counter holdings (complete list available https://www.otcmftr.com/otc-link/broker-dealer-directory/CDEL)	Other Reasons - Public Records
22-00115-FOIA	7/15/2022	I request disclosure from the CFTC the following records: 1. Copies of the 20 enforcement actions CFTC filed in FY 2021 that included digital asset-related allegations of misconduct, including: a multiple case sweep charging several entities who took advantage of the trading public by acting as unregistered FCMs that encouraged customers to transfer money or assets to them in exchange for the opportunity to purchase binary options based on the value of commodities like foreign currency and cryptocurrencies, including bitcoin; numerous cases charging retail fraud involving digital assets; and cases charging platforms with illegally offering off-exchange trading in digital assets, as described in the CFTC FY2023 President's Budget	Other Reasons - Public Records
22-00116-FOIA	7/15/2022	All documents related to CFTC v. Maverick Asset Management, LLC; Case No. 3:15-cv-00928; November 9, 2017; (2017 U.S. Dist. LEXIS 215402, U.S. v. Maverick Asset Management, LLC, Nov. 9, 2017, 6th Cir.)	Granted in Full
22-00117-FOIA	7/15/2022	A copy of the most recent legislative briefing on each of these topics: Legislative/Hill briefing on EACH of the following topics for which that office has such briefings: 1) RINS Markets, 2) Automated/HighFrequency/Electronic Trading; 3) Position Limits and Bona Fide Hedge Exemptions; 4) End-User related Concerns; 5) "Bad Actor" waivers within the Enforcement context; 6) Live Cattle Futures. A copy of the most recent Commission briefing on each of the above topics	Other Reasons - No records
22-00118-FOIA	7/15/2022	A copy of EACH congressional correspondence log or legislative interaction log in the CFTC office that handles that interaction. You may limit this request to logs during the timeframe 2018 to present. I understand that this may be more than one log or spreadsheet or database output.	Other Reasons - No records
22-00119-FOIA	7/15/2022	A copy of the written CFTC policy that states it does not conform or deny the existence of investigations	Other Reasons - Public Records
22-00120-FOIA	7/15/2022	A copy of the final report of the investigation of illegal trading activity in commodities related to individuals' advance knowledge of the United States attack on January 7, 2020 that killed Iranian Major General Qasem Soleimani	Other Reasons - No records
22-00121-FOIA	7/15/2022	All emails between CFTC staff or commissioners and the following representatives of cryptocurrency exchange operator FTX Trading Ltd. or its U.S. subsidiary West Realm Shires Services Inc. (d/b/a FTX US): - Sam Bankman-Fried (sam@ftx.com) - Brett Harrison (brett@ftx.us) - Ryne Miller (ryne@ftx.us) - Dan Friedberg (dan@ftx.com) The time period covered by this request is between Aug. 1, 2021, and Oct. 31, 2021. (Date Range for Record Search: From 8/1/2021 To 10/31/2021)	Granted/Denied in Part

22-00006-FPA	7/29/2022	All information you have related to me(b)(6) and my personal identifiable information	Other Reasons - Not a proper FOIA request for some other reason
22-00122-FOIA	7/18/2022	Please provide all Freedom of Information Act (FOIA) logs for the Agency for the time period requested, which typically include a tracking number, date and description of the nature of the request. Please provide all records in a machine readable format, including, whenever possible, having performed Optical Character Recognition (OCR) on .pdf files. Word or .doc and/or .docx files are acceptable. If applicable, spreadsheets, whenever possible, should be provided in .csv or .xlsx format.	Granted/Denied in Part
22-00123-FOIA	7/18/2022	Please provide all documents related to investigations and/or fines and sanctions of the commodities trading company Trafigura and its associated subsidiaries. Those subsidiaries are: - Trafigura Trading LLC - Trafigura PTE Ltd. - Trafigura US Inc. - Trafigura US Holdings, Inc. - Trafigura Marketing Inc - Impala Terminals Burnside LLC - Nyrstar Clarksville Inc - Nyrstar Tennessee Mines - Gordonsville LLC - Nyrstar Tennessee Mines - Strawberry Plains LLC - Puma Energy Caribe LLC - TCPU LLC - Tag Futures - Impala Fleeting Burnside LLC - Bluewater Texas Terminal LLC - Sawtooth Caverns -	Denied in Full
22-00124-FOIA	7/19/2022	Any and all mandated quarterly reports for the preceding 12 months as well as the most recent annual mandated compliance report for the North American Derivatives Exchange (Nadex)	Denied in Full
22-00009-AP	7/20/2022	I find it difficult to believe that CFTC «can not find» communication which is so recent and so publicized and on such high organizational level. It would be impossible to hold a dialogue between two government agencies about this as late as June 2022 without any written records or trances thereof. From the articles published in the press, we know that this dialogue happens between the two directors of CFTC and SEC. My questions: 1. Has the FOIA officers asked the directors? Bridget McFarland does not write that she has, I only receive a standard letter reply. 2. Which records and data bases have been researched, and with which search words? The CFTC reply does not say that either. Again, it is of extreme importance that the public is informed of any efforts to regulate crypto currency outside Congressional legislation. This is not and should not be held secret for any reason. If this FOIA is not reconsidered with a positive result, a lawsuit with Empower oversight will be considered. Here are more articles relating to the issue: https://dailyhodl.com/2022/06/26/sec-chair-gary-gensler-proposes-one-rule-book-for-regulation-of-all-crypto-asset-trading-report/	Completely Affirmed
22-00007-FPA	7/25/2022	Anything that has or uses my SSN; any bank account that i owned, even if it not authorized in my name. Everything that the government has a hold or i own.	Other Reasons - Records not reasonably described
22-00125-FOIA	7/27/2022	Historical price limit (if applicable) from 1960-present for the following commodity futures exchanges/contracts: CME, formally COMEX: Gold (GC), Silver (SI), Copper (HG) CME, formally CBOT:Chicago Soft Red Wheat (W), Soybean Oil (BO), Soybean Meal (SM), Corn (C), Soybeans (S), Rough Rice (RR) Oats (O) CME, formally NYMEX Metals: Palladium (PA), and Platinum (PL) CME, formally NYMEX: WTI Crude Oil (CL), Heating Oil/NY Harbor ULSD (HO), RBOB Gasoline (RB) Natural Gas (NG) CME, formally KCBOT: Kansas City Wheat (KW) CME: Live Cattle (LC), Feeder Cattle (FC), Lean Hogs ICE US, formally NYBOT: Sugar 11 (SB), Cocoa (CC), Cotton, FCOJ (JO), Canadian Canola (RS) Minneapolis Grain Exchange: Red Spring Wheat (MW)	Granted in Full
22-00126-FOIA	7/28/2022	It has come to my attention that naked credit swaps may pose systemic risk. Can you help me place a FOIA request for access for the relevant missing swaps data? There appears to have been some significant delay in the reporting.	Other Reasons - Public Records
22-00127-FOIA	10/18/2022	documents created or received during the interrelated enforcement actions and Notices of Covered Actions (NCA) involving the manipulation of certain FX benchmark rates by the following banks: • JPMorgan Chase Bank, N.A. (NCA 2015-010) • The Royal Bank of Scotland plc (NCA 2015-011) • HSBC Bank plc (NCA 2015-012) • UBS AG (NCA 2015-013) • Citibank, N.A. (NCA 2015-15) • Barclays Bank PLC (NCA 2015-037) Specifically, we are requesting the following documents named, described, or referenced in the declaration of the Chief Trial Attorney, which was provided to the Claims Review Staff ("CRS") in each of the above-listed NCAs: • Documents, including notes, transcripts, and memoranda, describing the contents of a June 19, 2013 call between the Commission and the United Kingdom's Financial Conduct Authority ("FCA") about benchmark manipulation • Documents, including notes, transcript, and memoranda, describing the contents of a July 1, 2013 call between the Commission and the FCA about benchmark manipulation • July 15, 2013 letter from the Commission to the FCA requesting information about the banks' benchmark manipulation • The FCA's September 4, 2013 response to the Commission's July 15, 2013 letter • Documentation, including notes, transcript, and memoranda, describing the contents of a September 26, 2013 call between the Commission and the FCA about benchmark manipulation. • Copy of the first internal investigation report from a target bank that was received by the Commission on September 27, 2013 • All substantive information that the Commission received from the Financial Conduct Authority ("FCA") during the Commission's investigation, which began on June 19, 2013, that related to the target banks' benchmark manipulation and the FCA's investigation into this manipulation. We are also requesting the following documents, which would have been created between the release of the NCAs in 2015 and the issuance of the Preliminary Determinations on February 9, 2022: • All documents created or received in connection with the award determinations for the above-listed NCAs or a related action, including affidavits or declarations, written requests for information, responses to requests for information, investigative notes, notes of interviews, investigative memoranda, recommendations, and analyses. • Any documents or materials, including sworn declarations from third parties, that were received or obtained by OWB or CRS to assist the Commission in resolving an applicant's award application, including information related to the claimant's eligibility, for the above-listed NCAs.	Denied in Full

22-00128-FOIA	7/28/2022	documents created between the dates of January 1, 2020 and February 9, 2022: • All communications, including emails, memoranda, and letters between the Office of General Counsel (OGC) and the Office of the Whistleblower (OWB) about the use of the Consumer Protection Fund (Fund) to fund OWB operations • All communications, including emails, memoranda, and letters, between OGC and OWB about the depletion of the Fund and its effect on OWB's mission and function • All communications, including emails, memoranda, and letters, between OGC and OWB about any conflict or conflict of interest for OWB when resolving large whistleblower award applications that might deplete the Fund • All communications, including emails, memoranda, and letters, between OGC and OWB about the ramifications of any whistleblower awards that could potentially deplete the Fund We are also requesting documents that relate specifically to the whistleblower award determinations made for the Notices of Covered Actions (NCA) involving the manipulation of certain FX benchmark rates by the following banks: • JPMorgan Chase Bank, N.A. (NCA 2015-010) • The Royal Bank of Scotland plc (NCA 2015-011) • HSBC Bank plc (NCA 2015-012) • UBS AG (NCA 2015-013) • Citibank, N.A. (NCA 2015-15) • Barclays Bank PLC (NCA 2015-037) For the above-listed NCAs, we are specifically requesting the following documents and information: • All communications, including emails, memoranda, and letters, between the Office of General Counsel (OGC) and the Office of the Whistleblower (OWB) about OWB's role in determining eligibility for an award • All communications, including emails, memoranda, and letters, between OGC and OWB about OGC's role in determining the eligibility of any whistleblower's for an award • All communications, including emails, memoranda, and letters, between OGC and OWB about the drafting of preliminary determinations, including but not limited to who should draft the preliminary determinations • The name(s) of the individual or individuals who drafted the preliminary determinations • The names of the members of the Claims Review Staff (CRS) that considered the whistleblower award applications	Granted/Denied in Part
22-00129-FOIA	7/29/2022	all emails from January 1, 2021-present in which CFTC Commissioner Kristin Johnson mentions Gary Gensler (Date Range for Record Search: From 1/1/2021 To 7/29/2022)	Other Reasons - No records
22-00130-FOIA	8/2/2022	any consumer complaints filed with the CFTC since 1/1/2018. regarding Advantage Gold, Allegiance Gold, Monetary Gold Group, Birch Gold Group, Rosland Capital, Red Rock Secured, Gold Allied Trust, Augusta Precious Metals, Patriot Gold Group, Oxford Gold Group or Goldco[.] Please include any attachments to such complaints as well.	Granted/Denied in Part
22-00131-FOIA	8/3/2022	I am now requesting a copy of the Agency's Annual report to the Attorney General as mandated by the same FOIA Act under section 8(c)1 to include all line items as required under the same Subsection	Other Reasons - Public Records
22-00132-FOIA	8/5/2022	Council for the Inspector General on Integrity and Efficiency ("CIGIE") report to the Chairman on the CFTC Inspector General.	Other Reasons - Not an agency record
22-00133-FOIA	8/19/2022	Any records relating to both Oats Futures and Ceres Global Ag Corp	Other Reasons - Records not reasonably described
22-00134-FOIA	8/8/2022	Any complaints made about predictit.com	Granted/Denied in Part
22-00135-FOIA	8/6/2022	Documents related to the decision to withdraw the "No-Action Letter to Victoria University of Wellington, New Zealand Regarding a Not-For-Profit Market for Certain Event Contracts". https://www.cftc.gov/PressRoom/PressReleases/8567-22 Included in this request are any communications on this topic between the CFTC and Victoria University of Wellington, Predictit, KalshiEX LLC, or other relevant parties, and any documents related to internal decision making at the CFTC	Denied in Full
22-00136-FOIA	8/9/2022	Investigations of Poloniex	Other Reasons - Records not reasonably described
22-00137-FOIA	8/30/2022	Investigations of FTX and FTX US	Other Reasons - Records not reasonably described
22-00138-FOIA	8/9/2022	Investigations of Binance or Binance US	Other Reasons - Records not reasonably described
22-00139-FOIA	8/9/2022	Investigations into Coinbase	Other Reasons - Records not reasonably described
22-00140-FOIA	8/9/2022	Documents related to investigations of Kraken	Other Reasons - Records not reasonably described
22-00141-FOIA	8/9/2022	Files related to the investigations of Bitfinex	Other Reasons - Records not reasonably described
22-00142-FOIA	8/9/2022	Documents related to the investigations of Tether	Other Reasons - Records not reasonably described
22-00143-FOIA	8/9/2022	Investigations of Gemini	Other Reasons - Records not reasonably described
22-00144-FOIA	8/10/2022	I am requesting "Exhibit B" (Technology Questionnaire) from Kalshi's initial DCM application to the CFTC (December, 2019)	Denied in Full
22-00145-FOIA	8/10/2022	Documents related to investigation of possible manipulation of the Dogecoin market by Elon Musk	Other Reasons - No records
22-00146-FOIA	8/15/2022	"Form DCO" and "Form SEF" applications for KalshiEX LLC and LedgerX LLC including all attachments to the application.	Granted/Denied in Part
22-00010-AP	8/18/2022	I write to appeal the CFTC's May 20, 2022 response to the above-referenced FOIA request. As I have communicated before, the CFTC has mishandled the false allegations against me and (b)(6) from the moment they were first made—allowing them to be made in a large group setting, in violation of CFTC policies. Worse yet, the allegations were purposely raised in this public setting to cause substantial reputational harm to me and (b)(6) which did indeed occur. In denying my FOIA request, the CFTC continues to mishandle the situation, to disregard my rights as the accused, and to make it unsafe and impossible for me to engage in proper performance management. I have a right to documents involving allegations and findings about me. In this regard, the CFTC's May 20 letter referencing "the general public's interest" and case law mentioning the same is misplaced—this request is not from the general public. Records about me have been created that are based on false information, and I have never had an opportunity to see those records, much less correct them, and multiple members of senior leadership have incorrectly relied on those records in communicating with me.	Completely Affirmed
22-00148-FOIA	8/22/2022	Information about Tether reserves between September 2nd 2016 and November 1st 2018	Other Reasons - Records not reasonably described
22-00149-FOIA	8/22/2022	Information about Tether's 51 different arrangements to hold funds during the relevant period investigated by CFTC	Other Reasons - Records not reasonably described

22-00150-FOIA	8/22/2022	Communications between Tether and customers encouraging them to use accounts at Crypto Capital Corp as described in the settlement	Other Reasons - Records not reasonably described
22-00151-FOIA	8/22/2022	Communications between Tether and Crypto Capital Corp	Other Reasons - Records not reasonably described
22-00152-FOIA	8/22/2022	Communication between Bitfinex and customers encouraging customers to use VPNs	Other Reasons - Records not reasonably described
22-00153-FOIA	8/22/2022	Loan terms between Winklevoss Capital and other firms related to trading on the Gemini exchange and trading in the Gemini Bitcoin Auction	Other Reasons - Records not reasonably described
22-00154-FOIA	8/22/2022	Under the Freedom of Information Act, 5 USC Section 552, I am requesting information or records regarding two parties: 1. Victoria University of Wellington 2. Aristotle International, Inc. (or the CEO, John Aristotle Phillips) I am looking for any information, including correspondence or other FOIA-eligible material, from between January 1, 2013 and August 22, 2022. I am seeking this information as a reporter on behalf of The New Yorker. If you have any questions about the handling of this request, you may telephone me at (b)(6) [Date Range for Record Search: From 1/1/2013 To 8/22/2022]	Other Reasons - Records not reasonably described
22-00155-FOIA	8/22/2022	Please see the attached.	Other Reasons - No records
22-00156-FOIA	8/24/2022	1) A copy of the job description of each individual in the Office of Legislative and Intergovernmental Affairs who handles congressional liaison/congressional relations. 2) A copy of records describing the current system, spreadsheet, database or file for tracking congressional interactions between CFTC and Congressional Offices and Committees and Subcommittees	Other Reasons - No records
22-00157-FOIA	8/24/2022	Copies of any emails sent or received by Rostin Behnam containing the keywords "Tether" or "stablecoin" or "stablecoins."	Other Reasons - Records not reasonably described
22-00158-FOIA	8/24/2022	Any notes or recordings or minutes or other records related to meetings of the President's Working Group on Financial Markets on July 19, 2021 and June 30, 2022	Other Reasons - Referrals
22-00159-FOIA	8/24/2022	A copy of the final report and the closing letter for the CFTC's investigation of Bitfinex and Tether. (This is the investigation that is the subject of Docket No. 22-04 and 22-05 and Release Number 8450-21) 2. A copy of the case file for the CFTC's investigation of Bitfinex and Tether. (This is the investigation that is the subject of Docket No. 22-04 and 22-05 and Release Number 8450-21) 3. A copy of the closing memo and referral letter, if any, for the CFTC's investigation of Bitfinex and Tether. (This is the investigation that is the subject of Docket No. 22-04 and 22-05 and Release Number 8450-21) 4. A copy of the final report and the closing letter for the CFTC's previous investigation of Bitfinex. (This is the investigation that is the subject of Docket No. 16-19 and Release Number 7380-16) 5. A copy of the case file for the CFTC's previous investigation of Bitfinex. (This is the investigation that is the subject of Docket No. 16-19 and Release Number 7380-16) 6. A copy of the closing memo and referral letter, if any, for the CFTC's previous investigation of Bitfinex. (This is the investigation that is the subject of Docket No. 16-19 and Release Number 7380-16)	Denied in Full
22-00160-FOIA	8/24/2022	FOIA logs from August 1, 2021 through August 1, 2022 (Date Range for Record Search: From 8/1/2021 To 8/1/2022)	Granted/Denied in Part
22-00161-FOIA	8/25/2022	All records produced by the CFTC in response to FOIA request #22-00039-FOIA	Other Reasons - Public Records
22-00162-FOIA	8/25/2022	Hi all - Is it possible to get archives of the Equities cumulative slice reports? The time period I'm interested in would be from 2017 to 2021. The historical search on the SDR page is limiting observations to 10,000 entries within excel and therefore missing trades. Please give me a call if you have any questions. Best, Asli	Other Reasons - Public Records
22-00163-FOIA	8/30/2022	Information or records regarding Sam Ikkurty (aka Sreenivas Rao), Ravishankar Avadhanam, Jafia LLC, Ikkurty Capital LLC (dba Rose City Income Fund), Rose City Income Fund II LP, or Seneca Ventures LLC	Other Reasons - Records not reasonably described
22-00164-FOIA	9/2/2022	I set up a commodities trading account a couple years ago. I never used the account and the computer I had the information on suddenly died. How can I get the account information?	Other Reasons - Not a proper FOIA request for some other reason
22-00147-FOIA	9/2/2022	Disclosure of communications within the Division of Market Oversight and between the DMO and outside parties related to the revocation of the no action letter provided to the Victoria University of Wellington in New Zealand, which was used by PredictIt/Aristotle to operate its event contracts exchange. The requested time period for these materials is Jan. 1, 2022 to Aug. 28, 2022. I believe these materials are primarily held by the Division of Market Oversight. These requested materials may include memoranda, reports, exhibits, interview transcripts, statements from witnesses, calendar logs, emails, email attachments, or other documents between DMO staff and the following individuals, companies or entities: Micah Green, an attorney at Steptoe & Johnson (mgreen@steptoe.com) Charles Mills, an attorney at Bracewell Charles.mills@bracewell.com) Victoria University of Wellington, New Zealand PredictIt Aristotle, Inc. Kalshi, Inc, KalshiEx LLC Eliezer (or Elie) Mishory of Kalshi, Inc (emishory@kalshi.com). These names are intended to facilitate your search but are not intended to be an exhaustive list	Denied in Full
22-00165-FOIA	9/7/2022	The full names of current and former CFTC economists who have been employed at the CFTC during 1990-2022. Economists are defined as any employees who have ever held the title: Economist, Senior Economist, Research Economist, Supervisory Economist, Chief Economist, Acting Chief Economist, or Deputy Chief Economist. For each economist, the starting date and end date (if any) of his/her employment at the CFTC. For each economist, the starting position and end position (or current position) of his/her employment at the CFTC. I also request information on Research Papers, as well as the titles and author names of the research papers that the CFTC economists have produced during 1990-2022	Other Reasons - Records not reasonably described
22-00166-FOIA	9/12/2022	I am requesting electronic copies of information or records created on or after January 1, 2022 regarding either of the following: (1) the event contract market operated by Victoria University of Wellington, New Zealand; or (2) CFTC Letter No. 14-130	Denied in Full
22-00167-FOIA	9/13/2022	A copy of each memo in the Legislative and Intergovernmental Affairs office at CFTC regarding each of the following topics: RINS Markets, Automated/High Frequency/Electronic Trading, Position Limits and Bona Fide Hedge Exemptions, End-User related concerns, "Bad Actor" waivers within the Enforcement context, and Live Cattle Futures. Please limit this request to records during the time frame January 1, 2017 to the present. I agree to the results of a search not to exceed three hours. I agree to limit this request to records found within the Office of Legislative and Intergovernmental Affairs	Granted/Denied in Part
22-00011-AP	9/14/2022	I'm writing to appeal the CFTC's Sept. 6 decision on my FOIA request (No. 22-00147-FOIA). Before denying records under Section (b)(7)(A), an agency must conduct a document-by-document search to determine if any records may be segregable and would not interfere with law enforcement proceedings	Completely Affirmed

22-00168-FOIA	9/14/2022	I am looking for more concrete information concerning a broker company called Fair forex, owned by a Krissy Jones. According to fairforex their platform was due to be upgraded, with little more than 2 hours notice. However customers were unable to withdraw their funds and requests to have been all drawn out and not forth coming due to 'technical issues' of the upgrade.	Other Reasons - Records not reasonably described
22-00008-CONS	9/15/2022	The Department of the Treasury (Treasury) received a FOIA request from Zeke Faux, seeking "Any notes or recordings or minutes or other records related to meetings of the President's Working Group on Financial Markets on July 19, 2021 and June 30, 2022. (Date Range for Record Search: From 7/1/2021 To 7/1/2022)." A copy of the request has been attached for your reference. While processing this request, Treasury located one (1) document, one (1) page (page 5) that we believe contain equities of the Commodity Futures Trading Commission. We are referring the documents to your agency for review and return to Treasury by September 23, 2022 to meet our commitment to respond to the requestor.	Granted in Full
22-00008-FPA	9/21/2022	Dear FOIA officer, pursuant to the Freedom of Information Act, the undersigner herewith requests all records, belonging to his persons or their identification numbers, which are held by your office. This requests also includes, without limitation, medical and psychological records, as well as records regarding any status, beneficial ownerships, benefits and debt records. To verify the correct person, the following data will help you:(b)(6) (b)(6) A certified copy of the birth certificate, the driver's license, a certification of a psychologist, all endorsements front and back are herewith accepted for value, and a signed certification to verify my ID is in the annex. The certification of the psychologist certifies, that sharing information directly to the undersigner will not have an adverse effect on him. In the reason this certification does not comply with the statutes, (b)(6) is herewith authorized to receive the requested records. If you have any questions or want to give notice to the undersigner, please contact via email at	Other Reasons - Records not reasonably described
22-00169-FOIA	9/21/2022	I would like to request access to electronic copies of all records furnished by the Commodity Futures Trading Commission in response to FOIA Request File Nos. #19-00088 and #21-00011	Granted in Full
22-00170-FOIA	9/22/2022	The following records pertaining to the no-action letter granted to the Victoria University of Wellington for the operation of the PredictIt betting market (CFTC Letter No. 14-130) from June 26, 2014 to the present: (1) Any correspondence between the commission and the university, its agents and attorneys, members of Congress, consumers, state or federal agencies, or other interested parties regarding the no-action letter. (2) Any data, documents or other information relied upon by the CFTC in issuing its August 4, 2022 letter revoking the no-action letter.	Other Reasons - Records not reasonably described
22-00171-FOIA	9/22/2022	I need a current list of Firms and Individuals at those firms who are registered with the CFTC in digital format, csv file or similar.	Other Reasons - Referrals
22-00172-FOIA	9/26/2022	1. Any letter sent by CFTC officials to the Victoria University of Wellington, New Zealand concerning Predictit.com between January 1, 2020 and August 31, 2022. 2. Any letter received by CFTC officials to the Victoria University of Wellington, New Zealand concerning Predictit.com between January 1, 2020 and August 31, 2022. 3. Any CFTC internal memos concerning Predictit.com from between January 1, 2020 and August 31, 2022.	Denied in Full
22-00173-FOIA	9/26/2022	Documents related to any examination or investigation related to Ceres Global Ag Corp. and actual or potential: position limit violations in the Oats futures market; manipulation of prices in the cash or futures markets for Oats; and/or efforts to suppress the supply of Oats available for sale to Oats purchasers	Denied in Full
22-00174-FOIA	9/27/2022	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	Granted in Full
22-00175-FOIA	9/28/2022	For each whistleblower award made under the CFTC's whistleblower program from January 1, 2021 through the present date: (1) the date the award was issued; (2) the dollar amount of the award; and (3) the law firm(s) and individual attorney(s) representing the whistleblower (if any); (4) if there is no law firm associated with the award, please indicate this. On June 7, 2022, the CFTC Legal Division issued a response to my related earlier FOIA request (No. 22-00026-FOIA / Appeal No. 22-0000006-AP) providing this information for an earlier time period	Granted/Denied in Part
22-00176-FOIA	9/28/2022	I would like to know about Commissioner Caroline Pham's schedule since she was in March. Particularly, I want to know meetings or calls she's had with cryptocurrency, digital asset, or blockchain industry stakeholders. Entities to search for include: "FTX"; "Coinbase"; "Uniswap"; "Paradigm" "Stellar"; "Robinhood"; "Kraken"; "Ripple"; "Blockchain Association"; "Crypto Council for Innovation"; "Coin Center"; "Mossari"; "CoinDesk"; "Chainalysis"; "Binance"; "Sternhell Group"; "Alex Sternhell"; "Gemini"; "BlockFi"; "Association for Digital Asset Markets"; "FS Vector"; "Kristin Smith"; "Sheila Warren"; "Mark Wetjen"; "Sam Bankman-Fried"; "Ryan Selkis"; "Jerry Brito"; "Peter Van Valkenburgh"; "Kara Calvert"; "Justin Slaughter"; and "Adam	Other Reasons - Records not reasonably described
22-00177-FOIA	9/29/2022	any official conversations via email, text, or letter between Kalshi employees/board members and the CFTC from May 1, 2022 - Aug. 15, 2022 that relates to PredictIt.	Other Reasons - Records not reasonably described
23-00001-FOIA	10/3/2022	A copy of letter correspondence between KalshiEX LLC (Kalshi) and the CFTC regarding political event contracts during the timeframe January 1, 2020 and present. A copy of presentations by Kalshi to CFTC that may be releasable under FOIA, during the same timeframe. This is an individual noncommercial request. I swear under penalty of perjury that this request is not for any commercial purpose.	-
23-00002-FOIA	10/3/2022	A copy of letter correspondence between Victoria University in New Zealand and the CFTC regarding political event contracts during the timeframe January 1, 2018 and present. A copy of presentations by Victoria University to CFTC that may be releasable under FOIA, during the same timeframe. A copy of the CFTC's underlying rationale and reasoning for the administrative decision to shut down the PredictIt market by a February 2023 deadline. This is an individual noncommercial request. I swear under penalty of perjury that this request is not for any commercial purpose.	Granted/Denied in Part
23-00003-FOIA	10/17/2022	I request any official documents, briefings, or other information generated or received by the CFTC, regarding the frontrunning of cryptocurrency transactions using decentralized finance (DEFI). This frontrunning may sometimes, but not always, be termed "Minor Extractable Value" (MEV).	Other Reasons - No records
23-00004-FOIA	10/3/2022	A copy of each piece of (letter - either paper or electronic) correspondence between CFTC and Congressional Committees or Subcommittees. Please limit this request to the timeframe January 1, 2018 to the present.	Granted/Denied in Part

23-00005-FOIA	10/3/2022	Caroline Pham's schedule since being sworn in in April 2022. Particularly, I want to know the time of meetings or calls she's had with cryptocurrency, digital asset, or blockchain industry stakeholders during her tenure, beyond the public statements and speeches that are viewable on the CFTC's website. Entities to search for include: "FTX"; "Coinbase"; "Uniswap"; "Paradigm" "Stellar"; "Robinhood"; "Kraken"; "Ripple"; "Blockchain Association"; "Crypto Council for Innovation"; "Coin Center"; "Messari"; "CoinDesk"; "Chainalysis"; "Binance"; "Sternhell Group"; "Alex Sternhell"; "Gemini"; "BlockFi"; "Association for Digital Asset Markets"; "FS Vector"; "Kristin Smith"; "Sheila Warren"; "Mark Wetjen"; "Sam Bankman-Fried"; "Ryan Selkis"; "Jerry Brito"; "Peter Van Valkenburgh"; "Kara Calvert"; "Justin Slaughter"; and "Adam Minchardt"	Granted in Full
23-00001-FPA	10/3/2022	(b)(6) submitted a formal complaint through the CFTC TCR portal between the date (b)(6) and is requesting the TCR record she submitted	Granted in Full
23-00006-FOIA	10/4/2022	8-R Regulatory Disclosure Information about James Reynolds, Jr.	Granted in Full
23-00007-FOIA	10/5/2022	Please provide the current organization chart for the Division of Market Oversight.	Granted in Full
23-00008-FOIA	10/5/2022	all records consisting of, concerning, referring to, or relating to MetaQuotes and its smartphone app, MetaTrader. Specifically this request is to include any and all releasable complaints, personnel records, any and all commendations, internal and external correspondence, agendas, memos, guidelines, talking points, guidances, legal briefs, presentations, manuals, and/or instructions pertaining to MetaQuotes and MetaTrader. This request applies specifically to any and all relevant images, graphics, illustrations, video or audio recordings, and datasets in your agency's possession. If specific portions of any documents or related materials are exempt from disclosure, please provide the non-exempt portions. Please consider the relevant request range from January 1 2019 until the date the search for responsive records is conducted.	Denied in Full
23-00001-CONS	10/6/2022	This concerns the subject request received and being processed by the FDIC. We have located one document, totaling 10 pages, which contain equities of interest to the Commodity Futures Trading Commission. Within the document, we have highlighted the specific information of interest to your office. We are forwarding this information to you for consultation, review and disclosure recommendations back to the FDIC. Please send your response directly to me at NatSmith@fdic.gov. If you have any questions about this matter, please feel free to contact me as well.	Granted in Full
23-00009-FOIA	10/11/2022	Each written authorization issued pursuant to 5 C.F.R. § 2635.502(d) between and including August 1, 2015, and October 6, 2022.	Granted/Denied in Part
23-00010-FOIA	10/11/2022	Video of Kristin Johnson and Jay Clayton on Wednesday, June 23, 2022 3:30 p.m. to 4:15 p.m. (EDT) at Goldman Sachs	Other Reasons - No records
23-00011-FOIA	10/11/2022	All CFTC Form 204s (Statement of Cash Positions in Grains) submitted on or between January 1, 2015 and December 31, 2020 by any of the following entities: Ceres Global Ag Corp (and/or its affiliates or subsidiaries, including Riverland Ag Corp., Savage Riverport LLC, Delmar Commodities, and Farmers Grain LLC); Cargill Inc.; CGB Enterprises Inc. (or Consolidated Grain and Barge Co.); Chicago & Illinois River Marketing LLC; General Mills Operations, Inc.; General Mills Operations, LLC; Hansen-Mueller Co.; ADM Grain Co.; Duluth Lake Port LLC; WB Duluth Storage LLC; COFCO International Grains US, LLC. Also, documents concerning a position limit exemption for Oat Futures for any of the entities listed above.	Denied in Full
23-00012-FOIA	10/13/2022	I would like to request a Certified Copy of the July 26, 2006, Initial Decision/Final Order in the case: Randy Straghn v. Executive Commodity Commission, et al. CFTC Case No. 04-R076.	Other Reasons - Public Records
23-00013-FOIA	10/14/2022	Any depositions of John Arnold conducted by CFTC - including but not limited to the one conducted for CASE #: 4:03-cv-00909, CFTC v. Enron and Hunter Shively	Granted/Denied in Part
23-00014-FOIA	11/1/2022	Any and all records pertaining to the CFTC's consideration of the proposal by FTX US to clear derivatives without the use of an intermediary. The records should include but not be limited to any memos, talking points, emails, correspondence with FTX or other companies related to the proposal.	Other Reasons - Records not reasonably described
23-00015-FOIA	10/17/2022	All records, which includes emails, memos, reports, letters, talking points, mentioning, or referring to "Terraform Labs," "Terra," "Luna," "TerraUSD," or "Do Kwon" between 3/1/2021 and 10/16/2022. Any and all records pertaining to case number "B9486." Any and all records pertaining to case number "C0352." (Date Range for Record Search: From 3/1/2021 To 10/16/2022)	Other Reasons - Records not reasonably described
23-00016-FOIA	10/18/2022	all emails, memos, presentations, emails or other correspondence related to the hedge fund Three Arrows Capital (sometimes written as 3AC) or its founders Zhu Su (sometimes written as Su Zhu) and Kyle Davies. The document search can be limited to 10/17/2021 to 10/17/2022.	Other Reasons - Records not reasonably described
23-00017-FOIA	10/18/2022	All congressional correspondence logs from January 3, 2021 to the present.	Other Reasons - No records
23-00018-FOIA	10/18/2022	I'm looking for a complete copy of the foreign board of trade ("FBOT") product certification filing submitted to the Division of Market Oversight (Product Review Branch) by Eurex, an FBOT, for the FTSE 100 Total Return Futures Contract in or about May of 2021.	Granted/Denied in Part
23-00019-FOIA	10/19/2022	Request for certified copies of CFTC Order (2007) & NFA Order (2004) against Mr. Lawrence Barrell Hundley, III	Other Reasons - Public Records
23-00020-FOIA	10/20/2022	Council of the Inspectors General on Integrity and Efficiency (CIGIE) investigation of the CFTC's Inspector General. I understand at the time of my first request the report was not yet completed and as such not yet provided to the CFTC. I believe the report has now been completed and most likely distributed to the CFTC.	Other Reasons - Referrals
23-00021-FOIA	10/20/2022	Information to the Commodity Futures Trading Commission ("CFTC") concerning its investigation of UBS Financial Services, Inc. and UBS Securities, LLC (collectively, "UBS") which resulted in the CFTC's Order Instituting Proceedings Pursuant to Section 6(c) and (d) of the Commodity Exchange Act, Making Findings, and Imposing Remedial Sanctions issued on or about September 27, 2022 in CFTC Docket No. 22-42, captioned In the Matter of UBS AG, UBS Financial Services, Inc. and UBS Securities LLC ("CFTC Order")	Other Reasons - Records not reasonably described
23-00022-FOIA	10/24/2022	A log, list or spreadsheet of the names of all CFTC employees who were required to file public financial disclosure statements between the period of January 1, 2017 to the present.	Granted in Full
23-00023-FOIA	10/24/2022	For all employees who entered into a position at the agency since January 2017: 1. Any conflicts or ethics waivers or authorizations for the individual, including authorizations pursuant to 5 C.F.R. Section 2735.502 and pursuant to 18 U.S. Code Section 208(b) 2. Any records related to any recusal determinations made or issued for the individual.	Granted/Denied in Part
23-00024-FOIA	10/25/2022	All materials (including, but not limited to, communications, whether handwritten, paper, email, text, messaging application messages, voicemail messages, or other form of recorded transfer of information, ideas, opinions, or thoughts (hereinafter, "Communications")) considered by the CFTC's Division of Market Oversight ("DMO"), including, but not limited to, any materials considered by the DMO's then Director, Deputy Director, and Associate Director of DMO leading to CFTC Letter No. 21-19, Staff Advisory on Swap Execution Facility Registration Requirement, issued on September 29, 2021 (Letter No. 21-19)	Granted/Denied in Part

23-00030-FOIA	11/7/2022	I would like access to the swaps records that the CFTC decided would not be shown until next year (from 2021 till 2023). All information related to the use of the swap mechanic which Wall Street firms, the big banks and hedge funds all use to maliciously hide their positions and leverage. They are meant to openly and publicly report these positions and I reached out to them, as did many other Americans, to which their response was to collectively vote to block all access to the records. It takes only a brief look at history to know why this is problematic: 2008 meltdown. The abuse by Wall Street to hide their positions and utilize credit default swaps, among many others, to drag bad bets into a literal national security risk should make it absolutely mandatory that these entities report their positions. The fact that the CFTC unilaterally decided that the American people don't need to see what Wall Street is doing with their pension funds, 401ks, stock lending from borrowers, savings accounts and basically all money held in banks, retirement accounts and businesses average Americans invest in should show how imperative it is that the data is seen. This is a national security risk, it has been since 2008 when they doubled down on bad bets and never repaid the bailout they received. They have done it again and the data will show not only that all the money is gone, but they have no idea how to fix the problem they have made.	Other Reasons - Public Records
23-00031-FOIA	11/7/2022	(b)(6) On behalf of (b)(6) I am seeking the documents described in more detail below as they relate to the proceeding entitled: In the Matter of Societe Generale S.A. (CFTC Docket No. 18-14). That proceeding culminated in an Order Instituting Proceedings Pursuant to Sections 6(c) and 6(d) of the Commodity Exchange Act, Making Findings, and Imposing Remedial Sanctions, dated June 4, 2018. 1. Copies of all documents or any other reports prepared by the CFTC or any other agency embodying the statements made by our client (b)(6) to the CFTC, DOJ, and FBI on or about November 11, 2015, at the offices of the CFTC in Washington DC regarding the investigation of Societe Generale. 2. Provide the names of the individuals from the Commodities Futures Trading Commission ("CFTC"), the Department of Justice ("DOJ") and the FBI that attended the interview of (b)(6) that took place on or about November 11, 2015, whether in person or by telephonic means, their titles, the names of those individuals that asked (b)(6) questions during the interview, and whether any of the attendees are still employees of the CFTC, DOJ or FBI. 3. All documents and correspondence relating to the dissemination of information provided by (b)(6) or attorneys acting on his behalf to attorneys and investigators working for the CFTC, the DOJ (including attorneys assigned to the United States Attorneys' Offices for the Southern and Eastern Districts of New York), the FBI, as well as to attorneys or representatives acting on behalf of Societe Generale S.A. 4. Copies of all documents assessing the value of the information provided by (b)(6) (b)(6) to the CFTC. 5. Copies of documents reflecting that information provided by (b)(6) was used to identify witnesses or confront witnesses, including then present and former employees of Societe Generale, with facts and events that had transpired during the period that was under investigation. 6. Copies of the request for documents and information sent by the CFTC Division of Enforcement to Societe Generale, prior to November 11, 2015, together with Societe Generale's response(s) thereto. 7. A copy of any request made by Societe Generale to the CFTC prior to November 11, 2015, seeking a meeting to discuss what had up to then been uncovered in the CFTC's investigation. 8. Copies of the documents relating to any meetings between representatives of Societe Generale and the CFTC prior to November 11, 2015, regarding Societe Generale's conduct relating to its U.S. Dollar LIBOR submissions. 9. Copies of the documents provided by Societe Generale prior to November 11, 2015, that reflected wrongdoing by Danielle Sindzingre and Muriel Besconde, as well as Societe Generale, with respect to LIBOR submissions. 10. During the course of the (b)(6) November 11, 2015, interview as well as in other documents, (b)(6) (b)(6) Provide copies of any interviews of these individuals that took place prior to November 11, 2015. If an objection is asserted to this request, provide a list of individuals who were not interviewed prior to November 11, 2015. 11. Provide a	Granted/Denied in Part
23-00032-FOIA	11/22/2022	information related to the CFTC case and fine against ECStone LLC. CFTC Press Release Number 6594-13 found at https://www.cftc.gov/PressRoom/PressReleases/6594-13 . The loss event occurred in 2013 regarding natural gas uncovered call options. I would like transcripts, depositions, and any documents relating to the findings against ECStone	Other Reasons - Records not reasonably described
23-00002-FPA	11/22/2022	all registration information for (b)(6) both the CFTC and NFA, all communication between the agencies, all arbitration and appeal information on any case involving (b)(6)	Other Reasons - Records not reasonably described
23-00033-FOIA	11/10/2022	Commissioner Johnson's speech on 11/9 - https://www.cftc.gov/PressRoom/Events/opaeventjohnson110922 Chairman Behnam's transcript from 11/9 Fireside Chat - https://www.cftc.gov/PressRoom/Events/opaeventbehnam110922 Commissioner Goldsmith Romero's remarks from 11/9 - https://www.cftc.gov/PressRoom/Events/opaeventromero110922 Commissioner Pham's remarks from 11/9 - https://www.cftc.gov/PressRoom/Events/opaeventpham110922 Commissioner Mersinger's remarks from 11/9 - https://www.cftc.gov/PressRoom/Events/opaeventmersinger110922	Other Reasons - Public Records
23-00034-FOIA	11/14/2022	Under the provisions of the Freedom of Information Act, I request a digital copy of each photo of President Trump in the communications/media/press office at CFTC. I limit this request to photos taken by the CFTC of President Trump visiting CFTC, or interacting with CFTC leadership or staff members, or otherwise engaging with the agency. If photos are searchable or accessible by keyword, I suggest using these keywords: TRUMP, PRESIDENT TRUMP, PRESIDENT DONALD TRUMP, and/or THE PRESIDENT. I limit this request to photos taken during the years 2017 through January 2021.	Other Reasons - No records
23-00035-FOIA	11/14/2022	I am requesting any correspondence to/from your office, reports, inquiries, memos, incidents and/or any other publicly available records with, about or regarding the following entities: Tether Bitfinex Binance Paxos Circle Jfinex FTX	Other Reasons - Records not reasonably described
23-00036-FOIA	11/14/2022	Chairman Rostin Behnam's meeting calendar from January 2022 to the most recent date available. Please include in-person meetings, virtual meetings and phone calls	-
23-00037-FOIA	11/29/2022	ALL registration and filings from 1882 to present. All disciplinary proceedings and all communications between NFA and CFTC 2nd request	Other Reasons - Records not reasonably described

23-00038-FOIA	11/16/2022	documents and/or records regarding the FOIA request by Kobre & Kim LLP to the Commodity Futures Trading Commission, dated August 21, 2019, including but not limited to, documents and/or records released and/or produced by the CFTC to Kobre & Kim LLP in the matter styled Kobre & Kim LLP v. CFTC, 19-cv-10151 (S.D.N.Y.) ("Kobre & Kim LLP v. CFTC") (complaint filed Oct. 31, 2019). 1. The "certain records" released by the CFTC to Kobre & Kim LLP "in response to its FOIA requests at issue in [Kobre & Kim LLP v. CFTC], subject to various redactions and withholdings pursuant to FOIA Exemptions 5, 7(A), and 7(E)." Stipulation and Order of Settlement and Dismissal entered in Kobre & Kim LLP v. CFTC on August 2, 2022 (Docket Entry 63) ("Order"), whereas clause, p. 1. 2. Documents and/or records produced by the CFTC to Kobre & Kim LLP pursuant to the Stipulation and Order in Kobre & Kim LLP v. CFTC. Order, ¶1, at p. 2. If these documents and/or records have not yet been produced by the CFTC to Kobre & Kim, we respectfully request their production to us when the CFTC makes such production. 3. To any extent not included in Items 1 and 2 above, documents and/or records released and/or produced by the CFTC to Kobre & Kim LLP relating to their August 21, 2019 FOIA request and any amendments thereto	Granted in Full
23-00039-FOIA	11/16/2022	Any calendar or scheduling records for CFTC Chairman Rostin Benham from January of this year until the present. - Any emails, texts or other communications during that time between Chairman Rostin Benham and FTX CEO Sam Bankman-Fried or former CFTX Commissioner Mark Wetjen	-
23-00040-FOIA	11/16/2022	I would like any and all communications and schedules related to Alameda Research and the CFTC	Other Reasons - Records not reasonably described
23-00041-FOIA	11/16/2022	I would like any and all communications and schedules related to any FTX employees and the CFTC	Other Reasons - Records not reasonably described
23-00042-FOIA	11/16/2022	I would like any and all communications and schedules related to Sam Bankman-Fried and the CFTC	Other Reasons - Records not reasonably described
23-00043-FOIA	11/17/2022	Please provide the public calendars, meeting schedules and itineraries of each CFTC commissioner, including details on with whom they met and for how long they met. The covered time period is January 1, 2022 to November 16, 2022	-
23-00044-FOIA	11/17/2022	Any and all communications (memos, letters, emails, text messages, instant messages, complaints, etc.) sent by or to the Commodities Futures Trading Commission and/or its personnel related to the Bahamas-based cryptocurrency exchange company, FTX and/or its chief executive officer, Sam Bankman-Fried (also known as SBF); and/or related to FTX's U.S.-based affiliates, including FTX US and Alameda Research, from Jan. 1, 2022 to the present date (Nov. 16, 2022)	Other Reasons - Records not reasonably described
23-00045-FOIA	11/18/2022	We are requesting reports made by your agency since 1/1/2021 regarding Tether Holdings and it's affiliates/subsidiaries TETHER LIMITED, TETHER INTERNATIONAL LIMITED, TETHER OPERATIONS LIMITED, TEINEX INC, BFXNA INC, and BFXWW INC	Denied in Full
23-00046-FOIA	11/18/2022	The last two years of the chairman's calendar. It would be similar to this from the SEC: https://www.sec.gov/foia/docs/sec-chair-calendar . I don't see it easily available on your website	-
23-00047-FOIA	11/18/2022	An electronic copy (e.g. pdfs on a CD-ROM or via email) of a complete list of the Commodity Futures Trading Commission's (CFTC) Office of Technology Innovation (OTI) staff members and titles as of the date on which this request is fulfilled. All calendars or calendar entries for Rostin Behnam, including any calendars maintained on his behalf (e.g., by an administrative assistant), from June 30, 2022 through the date on which this request is fulfilled. 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 Behnam allocated his time on agency Business	-
23-00003-FPA	11/30/2022	Any international trade information for any business held in a trust in my name	Other Reasons - Records not reasonably described
23-00059-FOIA	12/1/2022	copy of all email communications between CFTC officials and FTX CEO Sam Bankman-Fried, all FTX employees and its affiliates (lawyers, lobbyists, etc.) between the dates of July 1, 2021 and November 30, 2022. Please provide these records in digital form (Date Range for Record Search: From 7/1/2021 To 11/30/2022)	Other Reasons - Records not reasonably described
23-00060-FOIA	12/1/2022	All communication that discusses the cryptocurrency Ethereum's status as a security and/or commodity. Please include any cross-agency communication between the CFTC and SEC regarding this topic as well, including direct conversations between the two chairs Rostin Behnam and Gary Gensler.	Other Reasons - Records not reasonably described
23-00061-FOIA	12/5/2022	All responses, including the attachments, to the form at https://forms.cftc.gov/Forms/LabCFTC starting from the first response until today	Granted/Denied in Part
23-00062-FOIA	12/6/2022	1. All current position descriptions for supervisory and non-supervisory CT-14, CT-15 and CT-16 positions within the Office of the Division of Administration ("DA") excluding positions in DA Security Operations, Information Technology, and Administrative Proceedings; and 2. All current position descriptions for supervisory and non-supervisory CT-14, CT-15, and CT-16 positions within the Office of the General Counsel ("OGC"); and 3. Identification of all current CT-14, CT 15 or CT-16 positions within the DA excluding positions in DA Security Operations, Information Technology and Administrative Proceedings, and the OGC that do not have current position descriptions, including position title and grade	Granted in Full
23-00063-FOIA	12/7/2022	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, email address, direct-dial, and office for each person	Granted in Full
23-00002-CONS	12/8/2022	I'm looking to consult with the CFTC on the attached joint agency response letter to Congress. We received a FOIA request from MuckRock News for Congressional correspondence with Representative Ted Budd and wanted to check with the CFTC regarding releasing the attached letter before we finalize our response	Granted in Full
23-00064-FOIA	12/12/2022	Any documentation that "BITCOIN" the crypto currency has attempted to register with the "CFTC" as a commodity or any of it's representatives	Other Reasons - Records not reasonably described
23-00065-FOIA	12/12/2022	All transition-related letters, plans and memos directed to the Commission's executive leadership — for these purposes, Chairman Rostin Benham, Commissioner Dan Berkovitz, and/or the head of the Office of General Counsel during the covered period of time — from a member of the Biden administration transition team and/or the Biden campaign, however ultimately delivered to any such agency official, and received at any time from Nov. 4, 2020 through February 1, 2021, inclusive; and — All other electronic correspondence received by the Commission's executive leadership (see above) at any time from Nov. 4, 2020 through February 1, 2021, inclusive, from any email address originating from or including anywhere in it any email	-

23-00066-FOIA	12/12/2022	Calendars as defined herein kept for CFTC Chairman Rostin Benham, by any party, for the period January 1, 2022 through December 12, inclusive; and calendars as defined herein kept by or for CFTC Commissioner Christy Goldsmith Romero, by any party, for the period January 1, 2022 through December 12, 2022, inclusive. (Date Range for Record Search: From 1/1/2022 To 12/12/2022)	-
23-00067-FOIA	12/15/2022	Any and all records of email communications sent or received between August 1, 2021 and November 15, 2022 involving at least one of the following CFTC officials and at least one of the following individuals acting on behalf of the cryptocurrency exchange FTX. CFTC Officials: Chairman and Chief Executive Rostin Benham, Chief of Staff David Gillers, Acting Executive Director Janeka Perera, General Counsel Rob Schwartz, Director of the Office of Public Affairs Steven Adamske, and/or Director of the Office of Legislative Intergovernmental Affairs Ann Wright. FTX representatives: Eliora Katz, Brett Harrison, Christopher Giancarlo, Rync Miller, and/or Mark Wetjen (Date Range for Record Search: From 8/1/2021 To 11/15/2022)	Denied in Full
23-00068-FOIA	12/15/2022	Date from 2016 - 2022 Any/all complaints, correspondence letters, emails, documents, call logs, meeting notes, etc. regarding any of the following entities or persons: FTX Trading LTD, Alameda Research LLC, Alameda Research LTD (BVI), Samuel Bankman-Fried, Gary Wang, Andy Croghan, Constance Wang, Darren Wong and Caroline Ellison, Bitcoin Manipulation Abatement LLC, including but not limited to Case No. 3:19-cv-07245 Nov 2, 2019.	Other Reasons - Records not reasonably described
23-00069-FOIA	12/15/2022	All correspondence to and from the following congressional offices which include the term "crypto," "cryptocurrency," "digital currency," "bitcoin," or "FTX" dated between January 1, 2020 and the date this request is processed: Sen. Cynthia Lummis; Sen. Kirsten Gillibrand; Sen. Ted Cruz; Sen. Patrick Toomey; Sen. Cory Booker; Sen. Ron Wyden; Sen. Mike Crapo; Sen. Kyrsten Sinema; Rep. Ritchie Torres; Rep. Ted Budd; Rep. Patrick McHenry; Rep. Marie Newman; Rep. Tim Ryan; Rep. Ro Khanna; Rep. Josh Gottheimer; Rep. Tom Emmer; Rep. Maxine Walters; Rep. Bobby Scott; Rep. Virginia Foxx	Granted in Full
23-00004-FPA	12/15/2022	all validation that links me as the beneficiary and owner in a sole proprietorship [...] I have accounts with the federal trade commission, federal reserve bank and the SEC.	Other Reasons - Records not reasonably described
23-00070-FOIA	12/16/2022	1. The Division of Enforcement Annual Report for financial years 2007 through 2021. 2. Any other annual reports produced from September 2007 through December 2022 that describe the enforcement results of the CFTC over the previous financial year.	Other Reasons - Public Records
23-00071-FOIA	12/30/2022	Any emails, email attachments, calendar invitations, and outlook messages sent or received by CFTC employees that include an email address containing one of the following domain names sent between the dates of January 01, 2020, and December 15, 2022. ? Domain names: "@Mail.house.gov", "@Gillibrand.senate.gov", "@Lummis.senate.gov", "@Thune.senate.gov", "@Booker.senate.gov", "@Stabenow.senate.gov" or "@Boozman.senate.gov"	Other Reasons - Records not reasonably described
23-00072-FOIA	12/16/2022	communications [...] between Rostin Benham and Senator Kirsten Gillibrand; Senator Cynthia Lummis; Senator Debbie Stabenow; Senator John Boozman; Senator Cory Booker; Senator John Thune; Congressman Tom Emmer; Congressman Warren Davidson; Congressman Byron Donalds; Congressman Ted Budd; Congressman Josh Gottheimer; Congressman Jake Auchincloss; Congressman Ritchie Torres and Congressman Darren Soto from January 1, 2020 to December 15, 2022.	Granted/Denied in Part
23-00073-FOIA	12/19/2022	1. Documents filed with the CFTC on behalf of FTX and all entities listed. 2. Who was the direct contact for FTX and it's entities. a. All correspondence between assigned contact and FTX. 3. Any/all documents correspondence by CFTC assigned contacts on record regarding the case stated in FOIA request. We will begin here and if you can please provide a more detailed list of who would have been assigned FTX as CFTX representative for correspondence.	Other Reasons - Records not reasonably described
23-00074-FOIA	12/20/2022	a copy of the listing of Office of Inspector General investigations (not audits) closed during calendar years 2021 and 2022, to include fields such as the case number, the date the investigation was closed, the title or subject of the investigation, the category or type of investigation, etc. IF no such listing exists or can be produced from the computer database, then I instead request a copy of the title page and/or cover page for each OIG investigation closed during CY 2021 and 2022.	Granted in Full
23-00075-FOIA	12/27/2022	Kindly send me 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 05/25/2020-12/24/2022.	Granted/Denied in Part
23-00096-FOIA	1/18/2023	Dear to whom it may concern, This is a request under the Freedom of Information Act. 5 U.S.C. § 552, et seq. I am requesting all information given in comments made by federal legislators (members of the United States House of Representatives or the United States Senate) on proposed rules issued by the CFTC or subsidiary agencies between 2003-2022. Specifically, I request the following for each these comments: 1. The text 2. The date of when each comment was received 3. The document number, docket number and RIN of all proposed rules for each comment 4. Title information of the comment 5. Author(s) of the comment 6. Any other meta data available on the comment If the entire time frame is not possible, I will accept all available data within the available time frame. If it is too difficult to locate only legislator comments, I will accept the requested information on available comments on proposed rules within the specified time information. In this case I request any information that will facilitate identification of comments made by federal legislators, including any fields which indicate that the commenter is a legislator or a member of government. If all the requested information is not available, I will accept whatever information requested that is available. As you know, FOIA requires agencies to release information unless it is specifically exempt from disclosure, and also requires agencies to release all reasonably segregable nonexempt portions of documents, i.e., to redact exempt portions of documents and release the rest. See 5 U.S.C. § 552(a)(8). In order to help to determine my status for the purposes of determining the applicability of any fees, you should know that I am affiliated with the University of Rochester, and this request is made for a scholarly purpose and not for a commercial use. I request a waiver of all fees for this request. Disclosure of the requested information to me is in the public interest because it is likely to contribute significantly to public understanding of the operations or activities of the government and is not primarily in my commercial interest. Specifically, the requested data will be used in a research paper on the United States federal bureaucracy. The paper aims to expand researchers' and the public's understanding of the politics affecting rulemaking. The paper will be available to the public after being published or be made available for free if I cannot find a proper peer reviewed journal that will publish the paper. I also include a telephone number at which I can be contacted during the hours of 9am - 10pm. Call (b)(6) if necessary, to discuss any aspect of my request. I can also be reached by email at (b)(6). Thank you for your prompt consideration of this request. Sincerely, Tony Molino University of Rochester (b)(6)	Other Reasons - Public Records
23-00097-FOIA	1/18/2023	All Commodity Futures Trading Commission orders authorizing an investigation, or the issuance of subpoenas in the course of an investigation, concerning Platinum Management (NY) LLC and/or any of its affiliates, divisions, subsidiaries, and parent companies.	Granted in Full

23-00098-FOIA	1/19/2023	Our request concerns CFTC's investigation of UBS Financial Services, Inc. and UBS Securities, LLC (collectively, "UBS") which resulted in the CFTC's Order Instituting Proceedings Pursuant to Section 6(c) and (d) of the Commodity Exchange Act, Making Findings, and Imposing Remedial Sanctions issued on or about September 27, 2022 in CFTC Docket No. 22-42, captioned In the Matter of UBS AG, UBS Financial Services, Inc., and UBS Securities LLC ("CFTC Order"). We respectfully request that CFTC conduct a search of the email accounts of the following custodians, limited to emails sent or received on or before September 27, 2022: • James Wheaton • Devin Cain • Jack Murphy • Benjamin J. Rankin • Jake Mermelstein • Trevor Kokal • Candice Aloisi • Gabriella Geanulcas • Gates Hurand • Alejandra de Urioste • R. Stephen Painter, Jr. • Lenel Hickson, Jr. • Manal M. Sultan We request the following records: 1. All documents and/or communications pertaining to the investigation that resulted in the CFTC Order.	Denied in Full
23-00099-FOIA	1/20/2023	Any consumer complaints filed with the CFTC since 1/1/2018 regarding Lear Capital, American Hartford Gold Group (aka Hartford Gold Group), Goldco (aka Goldco Direct), Augusta Precious Metals, Fisher Capital, Reagan Gold Group, Noble Gold, Gold Alliance, Gold Gate Capital, Swiss America, Goldline International, Wilshire Capital Group, Genesis Gold Group or Capital Gold Group. Please include any attachments to such complaints as well. I understand that both the complaints and attachments may be redacted both under FOIA and the whistleblower provisions of the CEA.	Granted/Denied in Part
23-00119-FOIA	3/13/2023	I request disclosure of the following records: Closing memos, letters and/or final reports by the CFTC's Division of Enforcement involving natural gas markets during the February 2021 winter storm known as Winter Storm Uri. Emails, letters, memos and texts between officials in the Commodity Futures Trading Commission, the Federal Energy Regulatory Commission's Office of Enforcement and the Department of Justice's Antitrust Division starting Feb. 9, 2021 through present that reference the following terms used in relation to the intrastate natural gas market in Texas during Winter Storm Uri: Market power Market concentration Monopoly or oligopoly Excessive prices Price gouging Market manipulation The search for responsive records should not be limited to these search terms. These terms are provided to assist the FOIA officers in their search for responsive records. Emails, letters, memos and texts between representatives of the Commodity Futures Trading Commission and the North American Electric Reliability Corp. mentioning or referencing excessive natural gas prices during Winter Storm Uri	Other Reasons - No records
23-00120-FOIA	3/17/2023	We are requesting the most recent Form 1-FR-IB, FOCUS report, or 1-FR-FCM for the below companies, or, per 17 CFR 1.10(g)(2), all such portions/information from these reports available to the public. R.J. O'Brien & Associates RCM Alternatives RGC Commodities Rice Dairy LLC RJO Futures Roach Ag Marketing Saima Group LLC Santander Clearing Member (Santander Bank NA?) Charles Schwab Corporation SJB Futures, LLC Spectrum Commodities Stage 5 Trading Starfuels, Inc StoneX Financial Inc. Straits Financial Striker Securities Inc. Sweet Futures Swift Trading Syntex Energy LLC TastyWorks TD Ameritrade Thales Trading Solutions LLC TJM Institutional Services LLC Top Third Ag Marketing Total Farm Marketing by Stewart-Peterson Trade Futures 4 Less Trade Pro Futures and FOREX TradeStation Tradition (Compagnie Financière Tradition) Tradovate TransAct Futures Transworld Futures Trean Group LLC Trident Brokerage Services LLC Ulysses Commodities LLC United Futures Trading Walsh Trading Inc Wedbush/cfutures Wisdom Trading Inc X-Change Financial Access LLC Yue Xiu Futures Company Limited Zaner	Granted in Full
23-00121-FOIA	3/17/2023	We are requesting the most recent Form 1-FR-IB, FOCUS report, or 1-FR-FCM for the below companies, or, per 17 CFR 1.10(g)(2), all such portions/information from these reports available to the public. Roy E. Abbott Futures, Inc. Acuvest Brokers, LLC ADM Investor Services, Inc. Advance Trading Inc. Advantage Futures AgDairy AGN Futures Ag Optimus aiSource Allendale Inc. Altavest Worldwide Trading, Inc. ALTAVRA Inc. Amerex Brokers LLC AMP Futures A Packard Trading (APT) ApexFutures Applegate Commodities, LLC ATC Brokers Atlas Commodities, LLC Atlas Commodities Markets, LLC Atten Babler Commodities LLC Axiom Derivatives, LLC BBL Brokers LLC Beverley Hills Capital BGC Financial, L.P. MINT BGC Partners Inc. Blue Line Futures, LLC Blue Ocean Brokerage LLC Bosworth Brokers LLC Breiting & Sons Broker Junction, Series L.L.C. BTR Trading Group Cannon Trading Company Capital Trading Group CattleHedging.com, LLC Cattlenomics, LLC CES Capital International (Hong Kong) Ltd. CHS Hedging, LLC CIM Trading, LLC Citron Commodities, LLC Cleartrade Commodities Click Futures Columbia Futures Group Commodity Risk Management Group (CRMG) CommStock Investments Compass Ag Solutions Conover Futures Group, LLC Coquest, Inc. Cornerstone Futures, LLC Crunch Risk, LLC Cunningham Commodities, LLC DairyVisor Inc. Daiwa Capital Markets America Inc. Daniels Trading Daw Trading Decarley Trading Denali Futures, LLC Discount Trading Donnelly Partners, LLC Dorado Energy Services Dorman Trading LLC E*TRADE Securities LLC Eagle Energy Brokers, LLC Eclipse International Inc. ED&F Man Capital Markets Inc. ("MCM") - now Marex Capital Markets Edge Clear LLC EFL Futures Limited eFloorTrade eHedger, LLC ENGNSOL LLC EOX Holdings LLC EP Derivatives LLC eRoom Securities, LLC ETONG E-COMMERCE (SHANGHAI) CO., LTD Evolution Markets, Inc. Excel Futures, Inc. Foremost Trading, LLC Futu Securities International (Hong Kong) Limited Futures International LLC Futures Management Group, Inc G. H. Financials, LLC GA Global Markets, LLC GAIN Capital Group LLC Generic Trade GFF Brokers GFI Group Global Commodity Analytics & Consulting LLC Go Futures (Now IronBeam) Goldman Sachs Great Lakes Trading Company, Inc. Halifax America LLC Hawkeye Commodity Brokers, Inc. Heartland Management Investor Services, Inc. Herbert J. Sims & Co., Inc. Heritage West Financial, Inc. High Ridge Futures LLC HSBC Securities (USA) Inc. IASG Inc. iBroker ICAP Infinity Futures, LLC Insignia Futures & Options Interactive Brokers LLC Ironbeam Inc. IVG Energy (Appears to be part of Sage Energy Holdings) John Stewart and Associates, Inc. (JSA) JPR Commodities of West Helena, Inc. Kilo Futures LLC Kluis Commodity Advisors Lakefront Futures & Options, LLC LCMCommodities, LLC Lido Isle Advisors, LLC Lightspeed Financial Services Group LLC Link Futures, LLC Linn & Associates Llc Loewen and Associates, Inc. Macquarie Futures USA LLC Marex Group Mark Carolan Mark IV Brokerage, LLC Mastel Grain MBF Clearing Corp. McNamara Options LLC Mizuho Securities USA LLC Nanhua USA LLC New Frontier Capital Markets, LLC Newgate Global Markets LLC NinjaTrader North Star Trading, LLC Nova Energy, Inc Optimus Futures LLC Paradigm Futures Paragon Global Markets, LLC Paragon Investments, Inc Park Avenue Asset Management Inc. PFL Futures Limited Phillip Capital Inc. Pinnacle Derivatives Group Pit Base LLC Powerhouse President PRICE Futures Group, Inc Producers' Hedge, LLC Quam	Other Reasons - Duplicate Request
23-00122-FOIA	3/17/2023	I would like to request either the original Complaint or the Settlement Agreement regarding CFTC Docket No. 15-Roos? The complaint is being dismissed because of the Settlement between the parties. I wasn't able to find anything online with regard to the original complaint filed.	Granted/Denied in Part
23-00123-FOIA	3/17/2023	The document we are looking for are the following: • https://www.worldcat.org/fr/title/11634153 • https://www.worldcat.org/fr/title/27138208	Other Reasons - No records

23-00124-FOIA	3/20/2023	The Project On Government Oversight (POGO) makes this request for records pursuant to the Freedom of Information Act ("FOIA"), 5 U.S.C. § 552, and U.S. Department of Justice regulations. Specifically, POGO requests: The report prepared by CIGIE concerning the Inspector General of the Commodity Futures Trading Commission (CFTC) that was transmitted to the chairman of the CFTC in the last year.	Other Reasons - Referrals
23-00125-FOIA	3/22/2023	This is a formal request for access to the public records listed below pursuant to the Freedom of Information Act Request ("FOIA"), 5 U.S.C. § 552. I am writing this FOIA request to access information related to the Cboe (Erisx) platform for Cboe Digital Exchange as a Designated Contract Market ("DCM") and Cboe Clear Digital as a Derivatives Clearing Organization ("DCO"). Specifically, I am looking for the applications for each. Cboe Digital Exchange, LLC ("Cboe Digital Exchange") and Cboe Clear Digital, LLC ("Cboe Clear Digital") (collectively, "Cboe Digital"), are both Cboe companies. We request the following: all documents, records, or other information related to the aforementioned topics, including but not limited to applications, supporting documents, correspondence, memos, reports, contracts, and/or any other documents or records related to the Cboe (Erisx) platform as a DCM and Cboe Clear Digital as a DCO. In addition, we request that the documents be provided in their entirety, without any redactions or omissions.	Other Reasons - Public Records
23-00126-FOIA	3/22/2023	I request that you provide my office with copies of consumer complaints or other responsive information related to the following entities and organizations: 1st National Reserve Ltd., 120 Shakespeare, Beaumont, TX 77706; Universal Coin & Bullion, 7410 Phelan, Beaumont, TX 77706; Reserve First Partners Ltd., dba First Fidelity Reserve, 130 Shakespeare, Beaumont, TX 77706; 1st American Coin Ltd. dba 1st American Reserve, 7310 Phelan, Beaumont, TX 77706; Nationwide Coin and Bullion Reserve, Houston, Texas; Texas Bullion Exchange, Beaumont, Texas; U.S. Money Reserve, Austin, Texas; United States Gold Bureau, Leander, Texas; Rosland Capita, Los Angeles, CA; Augusta Precious Metals, Casper, WY and Beverly Hills, CA	Granted/Denied in Part
23-00127-FOIA	3/22/2023	All email messages between CFTC staff and lawyers with law firm Sullivan & Cromwell over a CFTC information request regarding Know Your Customer policies and procedures at FTX Trading from 7/1/2021 until 12/31/2021 (Date Range for Record Search: From 7/1/2021 To 12/31/2021)	Denied in Full
23-00128-FOIA	3/22/2023	I request disclosure from the CFTC the following records: 1. Calendars, expenses, expense reports, receipts from government issued credit cards, and emails referencing expenses or a request for additional budget/funds from the following CFTC officials: Chairman Rostin Behnam and David Gillers - from Jan. 20, 2021 through the present Commissioner Kristin Johnson and Bruce Fekrat- - from March 30, 2022 through the present Commissioner Summer Mersinger and Christopher Lucas - from March 30, 2022 through the present Commissioner Christy Goldsmith-Romero and Joseph Cisewski - from March 30, 2022 through the present Commissioner Caroline Pham and Meghan Tente - April 14, 2022 to date of this search	-
23-00129-FOIA	3/23/2023	Any report to the CFTC Chairman conducted by the Council of the Inspector General on Integrity and Efficiency ("CIGIE") from 2020 to current on the activities of the CFTC IG.	Other Reasons - Referrals
23-00010-FPA	3/24/2023	When and where, will I pick up and and poses any and all of my personal, financial, medical, as well as government files and d documents bonds trades stocks or any and all other forms of identity currency or reference	Other Reasons - Records not reasonably described
23-00130-FOIA	3/27/2023	From December 1, 2022, through March 13, 2023, records of communications between the listed Silicon Valley Bank employees and the listed CFTC officials.	Other Reasons - No records
23-00131-FOIA	3/27/2023	communications and meetings conducted between Senator Elizabeth Warren and her staff (domain: @Warren.senate.gov) and the CFTC officials specified below regarding SVB from January 20, 2021 through the date this request is processed.	Other Reasons - No records
23-00132-FOIA	3/28/2023	This is a FOIA request, where I am requesting clearly releasable info only: 1. The first page (i.e., Face Page) of the current contract award, and first 15 pages of the Performance Work Statement or Statement of Work for the existing contract # 9523ZY22C0003 https://www.fpds.gov/ezsearch/fpdsportal?indexName=awardfull&templateName=1.5.3&s=FPDS.GOV&q=9523ZY22C0003&x=0&y=0 2. for the existing contract, who is currently assigned as: PM/TM/POC (govt program manager, technical manager or govt owner of the requirement), COR (Contracting Organization Representative), CO/KO (contract officer), and CS (contract specialist, if applicable) Fee Approval: We approve fees up to \$25, as we are only requesting historical PWS and contacts, so this request is likely less than 15 pages of clearly releasable info. Contact: Ron Hartke Email address: foiarequest@lionacenterprises.com	Granted/Denied in Part
23-00003-AP	3/23/2023	This is a request to appeal the CFTC's February 22, 2023, response, which was unresponsive to my FOIA request. I did not ask for an OPM overview of classifying white collar positions nor a list of OPM's position classification standards. As stated in my FOIA request, I seek the specific classifications standards that the agency has used to classify CT 14 and 15 positions in OGC/LD and DA/OED since 2015.	Completely Affirmed
23-00144-FOIA	4/28/2023	I am requesting information or records regarding the following items, over the two year period: July 1st, 2020 through June 30th, 2022 [...] I am requesting all communications between the CFTC and any of (1) LMX, (2) FairX, or (3) FairXchange, LCC (successor to FairXchange, Inc.; hereafter included in the definition of "FairX") or any personnel at these companies about any of topics listed below, and any documents responsive to the following topics. TOPICS: • Any documents and communications about LMX or FairX applying to be a Designated Contract Market (DCM); • Any documents and communications about any product launches by LMX or FairX; • Any communications with LMX or FairX related to applying to be a Derivatives Clearing Organization (s) (DCO), or any documents concerning any such applications submitted by LMX or FairX; and • Any documents of information that compare the technology of LMX to the technology of any other exchange(s).	-
23-00145-FOIA	4/18/2023	If possible, I would like to please receive electronic copies of the following FOIA records listed on the CFTC website: - 19-00088: Victoria University Communications - 21-00011: Request for No-Action by Victoria University of Wellington	Granted in Full

23-00146-FOIA	4/21/2023	A list of all current Commodity Futures Trading Commission appointees, including the following: • Schedule C appointees Specifically, please provide the first and last name, title, email address, direct-dial, and office for each person. Please provide this in a machine readable format such as excel.	Other Reasons - Public Records
23-00147-FOIA	4/21/2023	Under the Freedom of Information Act, 5 U.S.C. subsection 552, I am requesting records relating to meetings or correspondence between FTX employees and the CFTC including meeting notes, emails, letters, memos, briefings, or other forms of digital communications. This should include records on any correspondence or meetings with Sam Bankman-Fried, Mark Wetjen (in his role with FTX), Ryne Miller, Ryan Salame and Ramnik Arora from the period between January 1, 2019 - December 31, 2022 (Date Range for Record Search: From 1/1/2019 To 12/31/2022)	Other Reasons - Records not reasonably described
23-00148-FOIA	4/24/2023	all congressional letters sent or received by the agency between January 1, 2022 and April 20, 2023. (Date Range for Record Search: From 1/1/2022 To 4/20/2023)	-
23-00149-FOIA	4/25/2023	From December 1, 2022, through March 27, 2023, records of communications between the list of First Citizens Bank employees and the list of CFTC officials: CFTC Officials: I. Chairman Rostin Behnam II. Chief of Staff David Gillers III. Deputy Chief of Staff Laura Gardy IV. Chief Counsel John Dunfee V. FinTech Policy and Technology Advisor Jason Somensatto VI. Commissioner Kristin N. Johnson VII. Chief Counsel Bruce Fekrat VIII. Commissioner Christy Goldsmith Romero IX. Chief of staff and Senior Counsel Joseph R. Cisewski X. Commissioner Summer K. Mersinger XI. Chief of Staff and Counsel Chris Lucas XII. Commissioner Caroline D. Pham XIII. Chief of Staff Meghan Tente XIV. Chief Counsel Gates S. Hurand First Citizens Bank employees: a) Frank B. Holding, Jr. Chairman and CEO b) Hope Holding Bryant, Vice Chairwoman c) Peter M. Bristow, President d) Craig L. Nix, Chief Financial Officer e) Lorie K. Rupp, Chief Risk Officer f) Jeffery L. Ward, Chief Strategy Officer	-