

# United States Senate

WASHINGTON, DC 20510

July 21, 2023

## **VIA ELECTRONIC TRANSMISSION**

The Honorable Dr. Brett M. Baker  
Acting Inspector General  
Commodity Futures Trading Commission

Dear Dr. Baker:

Inspectors General (IG) help expose fraud, waste, and abuse and hold government actors accountable for wrongdoing. It is imperative that IGs themselves do not engage in misconduct and are held to exacting standards of honesty and integrity.

On June 6, 2023, I sent a letter to the Commodity Futures Trading Commission (CFTC) asking what disciplinary actions would be taken against A. Roy Lavik, then-CFTC IG.<sup>1</sup> According to a report from the Council of the Inspectors General on Integrity and Efficiency's (CIGIE) Integrity Committee, Lavik and his Deputy, Judith Ringle, had engaged in improper conduct that resulted in his suspension.<sup>2</sup> With respect to Ms. Ringle, the report found that she (1) "prioritized a 'management review' over an investigation into allegations of misconduct,"<sup>3</sup> (2) compromised whistleblower and witness identities at least three times without consent,<sup>4</sup> (3) failed to develop and implement procedures to protect whistleblower and witness confidentiality as required by CIGIE standards,<sup>5</sup> (4) wasted taxpayer dollars by approving "payment to a consultant...who neither had been assigned nor produced any work product,"<sup>6</sup> and (5) "used Lavik's username and password to log into a government system and perform official actions in violation of rules."<sup>7</sup>

Mr. Lavik has since he retired from federal service, but Ms. Ringle is still employed as Deputy Inspector General.<sup>8</sup> IGs and their staff should be held to the same standard of accountability and integrity they hold others to. Accordingly, so that Congress can conduct an independent review, no later than August 4, 2023, please describe in detail what, if any,

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<sup>1</sup> Letter from Senator Grassley, Ranking Member, Senate Budget Committee, to Rostin Behnam, Chairman, Commodity Futures Trading Commission, (June 6, 2023), (on file with Comm. staff).

<sup>2</sup> Council of the Inspectors General on Integrity and Efficiency, Integrity Committee ROI 986, *Report of Findings for Integrity Committee Case 986*, (Feb. 13, 2023), <https://www.ignet.gov/sites/default/files/files/Integrity-Committee-ROI-986.pdf>.

<sup>3</sup> *Id.* at ii.

<sup>4</sup> *Id.* at iii.

<sup>5</sup> *Id.*

<sup>6</sup> *Id.* at iv.

<sup>7</sup> *Id.* at v.

<sup>8</sup> *Id.*

disciplinary actions will be taken against Ms. Ringle and, if none, please explain why not. Also, please describe the steps you have taken to correct the CFTC OIG's office management failures in light of the CIGIE report.

Thank you for your prompt attention to this matter. Should you have any questions, please contact my Committee staff at (202) 224-0642.

Sincerely,

A handwritten signature in blue ink that reads "Chuck Grassley". The signature is written in a cursive, flowing style.

Charles E. Grassley  
Ranking Member  
Committee on the Budget