

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.¹ 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.² With respect to Ms. Ringle, the report found that she (1) "prioritized a 'management review' over an investigation into allegations of misconduct,"³ (2) compromised whistleblower and witness identities at least three times without consent,⁴ (3) failed to develop and implement procedures to protect whistleblower and witness confidentiality as required by CIGIE standards,⁵ (4) wasted taxpayer dollars by approving "payment to a consultant...who neither had been assigned nor produced any work product,"⁶ and (5) "used Lavik's username and password to log into a government system and perform official actions in violation of rules."⁷

Mr. Lavik has since he retired from federal service, but Ms. Ringle is still employed as Deputy Inspector General.⁸ 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,

¹ 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).

² 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>.

³ *Id.* at ii.

⁴ *Id.* at iii.

⁵ *Id.*

⁶ *Id.* at iv.

⁷ *Id.* at v.

⁸ *Id.*

Dr. Baker
July 21, 2023
Page 2 of 2

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,



Charles E. Grassley
Ranking Member
Committee on the Budget