

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON OCTOBER 18, 2018 PURSUANT TO SECTION 165.7(e)(2) OF THE WHISTLEBLOWER RULES, 17 C.F.R. PART 165, ADOPTED PURSUANT TO SECTION 23 OF THE COMMODITY EXCHANGE ACT, 7 U.S.C. § 26.

In the Matter of Form

Redacted

PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE

The Commodity Futures Trading Commission (the “Commission”) received the above-referenced whistleblower award claim from Redacted (“Claimant”). The Whistleblower Office of the Commission has reviewed the whistleblower award claim filed on Form WB-APP. The Whistleblower Office identified that Claimant’s WB-APP was deficient, given that it does not relate to a Notice of Covered Action. Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on July 3, 2018, the Whistleblower Office notified Claimant in writing of the identified deficiency in the Form WB-APP and provided Claimant with an opportunity to correct the deficiency or to withdraw the Form WB-APP. Claimant had thirty (30) days from the date of the notification letter to respond and to correct the deficiency.

Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiency. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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Claimant responded to the Whistleblower Office’s written notification of the deficiency by submitting additional documents on or about July 27, 2018. After further review of the Claimant’s submission, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct this deficiency identified in the Whistleblower Office’s July 3, 2018 letter.¹

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and the Claimant’s apparent response to the notification letter, the Whistleblower Office has determined to deny Claimant’s claim for award, given that the award application does not relate to a Notice of Covered Action. Accordingly, Claimant’s award claim is hereby denied.

¹ In addition, Whistleblower Office staff spoke with Claimant, via telephone, on or about August 8, 2018 in response to a voicemail message from Claimant. During this call, Whistleblower Office staff provided Claimant with additional explanation regarding the Whistleblower Office’s July 3, 2018 letter, and discussed the Commission’s jurisdiction. Pursuant to 17 C.F.R. § 165.7(a), and as noted to Claimant during the call, the Commission will publish on the Commission’s website a “Notice of Covered Action” when a Commission judicial or administrative action results in monetary sanctions totaling more than \$1,000,000.

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¹ Whistleblower Office staff spoke with Claimant, via telephone, on or about July 5, 2018. During this call, Whistleblower Office staff provided Claimant with additional explanation regarding the Whistleblower Office’s July 3, 2018 letter, the Commission’s whistleblower rules, and the Commission’s jurisdiction.

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Claimant responded to the Whistleblower Office’s written notification of the deficiency by submitting additional documents via email on or about July 3, 2018. After further review of the Claimant’s submission, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action.¹ Claimant failed to correct this deficiency identified in the Whistleblower Office’s July 3, 2018 letter.

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and the Claimant’s apparent response to the notification letter, the Whistleblower Office has determined to deny Claimant’s claim for award, given that the award application does not relate to a Notice of Covered Action. Accordingly, Claimant’s award claim is hereby denied.

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Claimant appears to have responded to the Whistleblower Office’s written notification of the deficiency by submitting additional documents on or about July 8, 18, 20, 22, and 23, 2018. After further review of the Claimant’s submissions, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct this deficiency identified in the Whistleblower Office’s July 3, 2018 letter.

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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Claimant responded to the Whistleblower Office’s written notification of the deficiencies by submitting a letter and other documents on or about July 23, 2018. In ** response, Claimant wrote that *** concerns relate to questionable practices related to government contracting, and discussed matters outside of the Commission’s jurisdiction. After further review of the Claimant’s submission, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct this deficiency identified in the Whistleblower Office’s July 3, 2018 letter.

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Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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In the Matter of Form

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The Commodity Futures Trading Commission (the “Commission”) received the above-referenced whistleblower award claim from Redacted (“Claimant”). The Whistleblower Office of the Commission has reviewed the whistleblower award claim filed on Form WB-APP. The Whistleblower Office identified that Claimant’s WB-APP was deficient, given that it does not relate to a Notice of Covered Action. Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on July 3, 2018, the Whistleblower Office notified Claimant in writing of the identified deficiency in the Form WB-APP and provided Claimant with an opportunity to correct the deficiency or to withdraw the Form WB-APP. Claimant had thirty (30) days from the date of the notification letter to respond and to correct the deficiency.

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Claimant failed to submit a substantive response to the Whistleblower Office’s written notification of the deficiency.¹ Accordingly, Claimant’s award claim is hereby denied.

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¹ The Whistleblower Office communicated with the Claimant, via email, on or about July 10, 2018 regarding the Whistleblower Office’s July 3, 2018 letter, the Commission’s Whistleblower Rules, and the Commission’s jurisdiction.

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Claimant appears to have responded to the Whistleblower Office’s written notification of the deficiency by submitting additional documents on or about July 8, 18, 20, 22, and 23, 2018. After further review of the Claimant’s submissions, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct this deficiency identified in the Whistleblower Office’s July 3, 2018 letter.

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and the Claimant’s apparent responses to the notification letter, the Whistleblower Office has determined to deny Claimant’s claim for award, given that the award application does not relate to a Notice of Covered Action. Accordingly, Claimant’s award claim is hereby denied.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON OCTOBER 18, 2018 PURSUANT TO SECTION 165.7(e)(2) OF THE WHISTLEBLOWER RULES, 17 C.F.R. PART 165, ADOPTED PURSUANT TO SECTION 23 OF THE COMMODITY EXCHANGE ACT, 7 U.S.C. § 26.

In the Matter of Form

Redacted

PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE

The Commodity Futures Trading Commission (the “Commission”) received the above-referenced whistleblower award claim from Redacted (“Claimant”). The Whistleblower Office of the Commission has reviewed the whistleblower award claim filed on Form WB-APP. The Whistleblower Office identified that Claimant’s WB-APP was deficient, given that it does not relate to a Notice of Covered Action. Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on July 3, 2018, the Whistleblower Office notified Claimant in writing of the identified deficiency in the Form WB-APP and provided Claimant with an opportunity to correct the deficiency or to withdraw the Form WB-APP. Claimant had thirty (30) days from the date of the notification letter to respond and to correct the deficiency.

Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiency. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON OCTOBER 18, 2018 PURSUANT TO SECTION 165.7(e)(2) OF THE WHISTLEBLOWER RULES, 17 C.F.R. PART 165, ADOPTED PURSUANT TO SECTION 23 OF THE COMMODITY EXCHANGE ACT, 7 U.S.C. § 26.

In the Matter of Form

Redacted

PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE

The Commodity Futures Trading Commission (the “Commission”) received the above-referenced whistleblower award claim from Redacted (“Claimant”). The Whistleblower Office of the Commission has reviewed the whistleblower award claim filed on Form WB-APP. The Whistleblower Office identified that Claimant’s WB-APP was deficient, given that it does not relate to a Notice of Covered Action. Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on July 3, 2018, the Whistleblower Office notified Claimant in writing of the identified deficiency in the Form WB-APP and provided Claimant with an opportunity to correct the deficiency or to withdraw the Form WB-APP. Claimant had thirty (30) days from the date of the notification letter to respond and to correct the deficiency.

Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiency. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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In the Matter of Form

Redacted

PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE

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Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiency. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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In the Matter of Form Redacted

PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE

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Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.¹

Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiency. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

¹ Claimant’s counsel requested an extension of time to respond to the deficiency identified in the Whistleblower Office’s letter dated July 3, 2018. In response to this request, the Director of the Whistleblower Office extended the deadline to respond to August 31, 2018. On September 7, 2018, staff of the Whistleblower Office wrote to Claimant’s legal counsel to note that the extended deadline to submit a written response had passed. The Whistleblower Office received no written response from Claimant or ** counsel to correct the deficiency identified in the July 3, 2018 letter.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON OCTOBER 18, 2018 PURSUANT TO SECTION 165.7(e)(2) OF THE WHISTLEBLOWER RULES, 17 C.F.R. PART 165, ADOPTED PURSUANT TO SECTION 23 OF THE COMMODITY EXCHANGE ACT, 7 U.S.C. § 26.

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PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE

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Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant responded to the Whistleblower Office’s written notification of the deficiencies by submitting an email response on or about August 3, 2018. In ** response, Claimant wrote that ** concerns relate Redacted, and discussed matters outside of the Commission’s jurisdiction. After further review of the Claimant’s submission, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct this deficiency identified in the Whistleblower Office’s July 3, 2018 letter.

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and the Claimant’s response to the notification letter, the Whistleblower Office has determined to deny Claimant’s claim for award, given that the award application does not relate to a Notice of Covered Action. Accordingly, Claimant’s award claim is hereby denied.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON OCTOBER 18, 2018 PURSUANT TO SECTION 165.7(e)(2) OF THE WHISTLEBLOWER RULES, 17 C.F.R. PART 165, ADOPTED PURSUANT TO SECTION 23 OF THE COMMODITY EXCHANGE ACT, 7 U.S.C. § 26.

In the Matter of Form Redacted

PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE

The Commodity Futures Trading Commission (the “Commission” or “CFTC”) received the above-referenced whistleblower award claim from Redacted (“Claimant”). The Whistleblower Office of the Commission has reviewed the whistleblower award claim filed on Form WB-APP. The Whistleblower Office identified that Claimant’s WB-APP was deficient, given that it does not relate to a Notice of Covered Action. Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on July 3, 2018, the Whistleblower Office notified Claimant in writing of the identified deficiency in the Form WB-APP and provided Claimant with an opportunity to correct the deficiency or to withdraw the Form WB-APP. Claimant had thirty (30) days from the date of the notification letter to respond and to correct the deficiency.

Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant appears to have responded to the Whistleblower Office’s written notification of the deficiency by resubmitting on or about July 10, 2018 a Form WB-APP along with a Form TCR number not originally included.¹ After further review of Claimant’s original Form WB-APP and the July 10, 2018 submission, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct this deficiency identified in the Whistleblower Office’s July 3, 2018 letter.

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and the Claimant’s apparent response to the notification letter, the Whistleblower Office has determined to deny Claimant’s claim for award, given that the award application does not relate to a Notice of Covered Action. Accordingly, Claimant’s award claim is hereby denied.

¹ The TCR number Claimant provided appears to be a TCR number issued by the U.S. Securities and Exchange Commission, not the U.S. Commodity Futures Trading Commission. The Whistleblower Office notes that Claimant also included a letter directed to the Chief of the U.S. Securities and Exchange Commission’s Office of the Whistleblower dated July 5, 2018 in ** response to the CFTC Whistleblower Office’s July 3, 2018 deficiency letter.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON OCTOBER 18, 2018 PURSUANT TO SECTION 165.7(e)(2) OF THE WHISTLEBLOWER RULES, 17 C.F.R. PART 165, ADOPTED PURSUANT TO SECTION 23 OF THE COMMODITY EXCHANGE ACT, 7 U.S.C. § 26.

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PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE

The Commodity Futures Trading Commission (the “Commission” or “CFTC”) received the above-referenced whistleblower award claim from Redacted (“Claimant”). The Whistleblower Office of the Commission has reviewed the whistleblower award claim filed on Form WB-APP. The Whistleblower Office identified that Claimant’s WB-APP was deficient, given that it does not relate to a Notice of Covered Action. Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on July 3, 2018, the Whistleblower Office notified Claimant in writing of the identified deficiency in the Form WB-APP and provided Claimant with an opportunity to correct the deficiency or to withdraw the Form WB-APP. Claimant had thirty (30) days from the date of the notification letter to respond and to correct the deficiency.

Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant appears to have responded to the Whistleblower Office’s written notification of the deficiency by resubmitting on or about July 10, 2018 a Form WB-APP along with a Form TCR number not originally included.¹ After further review of Claimant’s original Form WB-APP and the July 10, 2018 submission, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct this deficiency identified in the Whistleblower Office’s July 3, 2018 letter.

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and the Claimant’s apparent response to the notification letter, the Whistleblower Office has determined to deny Claimant’s claim for award, given that the award application does not relate to a Notice of Covered Action. Accordingly, Claimant’s award claim is hereby denied.

¹ The TCR number Claimant provided appears to be a TCR number issued by the U.S. Securities and Exchange Commission, not the U.S. Commodity Futures Trading Commission. The Whistleblower Office notes that Claimant also included a letter directed to the Chief of the U.S. Securities and Exchange Commission’s Office of the Whistleblower dated July 5, 2018 in ** response to the CFTC Whistleblower Office’s July 3, 2018 deficiency letter.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON OCTOBER 18, 2018 PURSUANT TO SECTION 165.7(e)(2) OF THE WHISTLEBLOWER RULES, 17 C.F.R. PART 165, ADOPTED PURSUANT TO SECTION 23 OF THE COMMODITY EXCHANGE ACT, 7 U.S.C. § 26.

Notice of Covered Action Redacted

PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE

In response to the above-referenced Notice of Covered Action, the Commodity Futures Trading Commission (the “Commission”) received whistleblower award claims from Redacted (“Claimant #1”) and Redacted (Claimant #2) (collectively, “the Claimants”). The Whistleblower Office of the Commission has reviewed the whistleblower award claims filed on Form WB-APP. The Whistleblower Office identified that the Claimants’ Form WB-APPs were deficient, given that the award applications did not relate to the Notice of Covered Action or a previously filed Form TCR.¹ Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on July 3, 2018, the Whistleblower Office notified the Claimants in writing of the identified deficiencies in the Form WB-APPs and provided the Claimants with an opportunity to correct the deficiencies or to withdraw their respective Form WB-APP. The Claimants each had thirty (30) days from the date of the notification letter to respond and to correct the deficiencies.

Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days, or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant #1 responded to the Whistleblower Office’s written notification of the deficiencies by submitting an email response on or about August 3, 2018. In ** response, Claimant #1 wrote that ** concerns relate Redacted , and discussed matters outside of the Commission’s jurisdiction, which also appear to be completely unrelated to the Notice of Covered Action. After further review of Claimant #1’s submission, the Whistleblower Office has confirmed that Claimant #1’s award application does not relate to the Notice of Covered Action or a previously filed Form TCR. Claimant #1 failed to correct the deficiencies identified in the Whistleblower Office’s July 3, 2018 letter.

Claimant #2 failed to submit a timely response to the Whistleblower Office’s written notification of the deficiencies. Claimant #2’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant #1’s award application and Claimant #1’s response to the notification letter, the Whistleblower Office has determined to deny Claimant #1’s claim for award, given that the award application does not relate to the Notice of Covered Action or a

¹ In further support of this disposition, and prior to sending the July 3, 2018 notification letters, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that neither Claimant #1 nor Claimant #2 contributed in any way to that enforcement action.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON OCTOBER 18, 2018 PURSUANT TO SECTION 165.7(e)(2) OF THE WHISTLEBLOWER RULES, 17 C.F.R. PART 165, ADOPTED PURSUANT TO SECTION 23 OF THE COMMODITY EXCHANGE ACT, 7 U.S.C. § 26.

previously filed Form TCR. Accordingly, Claimant #1's award claim is hereby denied. Claimant #2's failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant #2 will be prohibited from pursuing an appeal under § 165.13.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON OCTOBER 18, 2018 PURSUANT TO SECTION 165.7(e)(2) OF THE WHISTLEBLOWER RULES, 17 C.F.R. PART 165, ADOPTED PURSUANT TO SECTION 23 OF THE COMMODITY EXCHANGE ACT, 7 U.S.C. § 26.

Notice of Covered Action Redacted

PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE

In response to the above-referenced Notice of Covered Action, the Commodity Futures Trading Commission (the “Commission”) received whistleblower award claims from Redacted (“Claimant #1”) and Redacted (Claimant #2) (collectively, “the Claimants”). The Whistleblower Office of the Commission has reviewed the whistleblower award claims filed on Form WB-APP. The Whistleblower Office identified that the Claimants’ Form WB-APPs were deficient, given that the award applications did not relate to the Notice of Covered Action or a previously filed Form TCR.¹ Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on July 3, 2018, the Whistleblower Office notified the Claimants in writing of the identified deficiencies in the Form WB-APPs and provided the Claimants with an opportunity to correct the deficiencies or to withdraw their respective Form WB-APP. The Claimants each had thirty (30) days from the date of the notification letter to respond and to correct the deficiencies.

Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days, or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant #1 responded to the Whistleblower Office’s written notification of the deficiencies by submitting an email response on or about August 3, 2018. In ** response, Claimant #1 wrote that ** concerns relate Redacted , and discussed matters outside of the Commission’s jurisdiction, which also appear to be completely unrelated to the Notice of Covered Action. After further review of Claimant #1’s submission, the Whistleblower Office has confirmed that Claimant’s award application does not relate to the Notice of Covered Action or a previously filed Form TCR. Claimant #1 failed to correct the deficiencies identified in the Whistleblower Office’s July 3, 2018 letter.

Claimant #2 failed to submit a timely response to the Whistleblower Office’s written notification of the deficiencies. Claimant #2’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant #1’s award application and Claimant #1’s response to the notification letter, the Whistleblower Office has determined to deny Claimant #1’s

¹ In further support of this disposition, and prior to sending the July 3, 2018 notification letters, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that neither Claimant #1 nor Claimant #2 contributed in any way to that enforcement action.

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claim for award, given that the award application does not relate to the Notice of Covered Action or a previously filed Form TCR. Accordingly, Claimant #1's award claim is hereby denied. Claimant #2's failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant #2 will be prohibited from pursuing an appeal under § 165.13.

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Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days, or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant #1 responded to the Whistleblower Office’s written notification of the deficiencies by submitting an email response on or about August 3, 2018. In*** response, Claimant #1 wrote that ** concerns relate Redacted , and discussed matters outside of the Commission’s jurisdiction, which also appear to be completely unrelated to the Notice of Covered Action. After further review of Claimant #1’s submission, the Whistleblower Office has confirmed that Claimant # 1’s award application does not relate to the Notice of Covered Action or a previously filed Form TCR. Claimant #1 failed to correct the deficiencies identified in the Whistleblower Office’s July 3, 2018 letter.

Claimant #2 failed to submit a timely response to the Whistleblower Office’s written notification of the deficiencies. Claimant #2’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant #1’s award application and Claimant #1’s response to the notification letter, the Whistleblower Office has determined to deny Claimant #1’s

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claim for award, given that the award application does not relate to the Notice of Covered Action or a previously filed Form TCR. Accordingly, Claimant #1's award claim is hereby denied. Claimant #2's failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant #2 will be prohibited from pursuing an appeal under § 165.13.

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Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s response to the notification letter, the Whistleblower Office has determined to deny Claimant’s claim for award, given that the award application does not relate to the Notice of Covered Action or a previously filed Form TCR. Accordingly, Claimant’s award claim is hereby denied.

¹ In further support of this disposition, and prior to sending the July 3, 2018 notification letter, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that Claimant did not contribute to that enforcement action.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON OCTOBER 18, 2018 PURSUANT TO SECTION 165.7(e)(2) OF THE WHISTLEBLOWER RULES, 17 C.F.R. PART 165, ADOPTED PURSUANT TO SECTION 23 OF THE COMMODITY EXCHANGE ACT, 7 U.S.C. § 26.

Notice of Covered Action Redacted

PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE

In response to the above-referenced Notice of Covered Action, the Commodity Futures Trading Commission (the “Commission”) received whistleblower award claims from Redacted (“Claimant”). The Whistleblower Office of the Commission has reviewed the whistleblower award claims filed on Form WB-APP. The Whistleblower Office identified that Claimant’s WB-APP was deficient, given that the award application did not relate to the Notice of Covered Action or a previously filed Form TCR.¹ Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on July 3, 2018 the Whistleblower Office notified Claimant in writing of the identified deficiencies in the Form WB-APP and provided Claimant with an opportunity to correct the deficiencies or to withdraw the Form WB-APP. Claimant had thirty (30) days from the date of the notification letter to respond and to correct the deficiencies.

Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant responded to the Whistleblower Office’s written notification of the deficiencies by submitting an email response on or about August 3, 2018. In *** response, Claimant wrote that ** concerns relate Redacted , and discussed matters outside of the Commission’s jurisdiction, which also appear to be completely unrelated to the Notice of Covered Action. After further review of Claimant’s submission, the Whistleblower Office has confirmed that Claimant’s award application does not relate to the Notice of Covered Action or a previously filed Form TCR. Claimant failed to correct the deficiencies identified in the Whistleblower Office’s July 3, 2018 letter.

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s response to the notification letter, the Whistleblower Office has determined to deny Claimant’s claim for award, given that the award application does not relate to the Notice of Covered Action or a previously filed Form TCR. Accordingly, Claimant’s award claim is hereby denied.

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Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on September 17, 2018, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition to deny Claimant’s award claim. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under §165.13.

¹ In further support of this disposition, and prior to sending the July 3, 2018 notification letter, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that Claimant did not contribute to that enforcement action.

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