

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON NOVEMBER 27, 2018 PURSUANT TO SECTION 165.7(h) 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.

UNITED STATES OF AMERICA
before the
COMMODITY FUTURES TRADING COMMISSION

_____)
)
In the Matter of Whistleblower Award)
Application for Notice of Covered Action)
Redacted :)
)
Redacted (“Claimant”),)
WB-APP Redacted)
_____)
)

PRELIMINARY DETERMINATION OF THE CLAIMS REVIEW STAFF

The Commodity Futures Trading Commission (“Commission”) received a whistleblower award application from Claimant, submitted on WB-APP Redacted regarding Redacted

. The Claims Review Staff (“CRS”) has evaluated the application in accordance with the Commission’s Whistleblower Rules (“Rules”), 17 C.F.R. pt. 165 (2017) (as amended by 82 Fed. Reg. 24,487, 24,496–521 (May 30, 2017)), promulgated pursuant to Section 23 of the Commodity Exchange Act (“CEA” or “Act”), 7 U.S.C. § 26 (2012). The CRS sets forth its Preliminary Determination for Claimant as follows:

1. The CRS has determined to recommend that the Commission deny Claimant’s application because the application fails to meet the requirements of Section 23 of the Act and the Rules. Although Claimant voluntarily provided the Commission with original information, Claimant never submitted a TCR, a requirement to receive an award. Even if

Claimant had submitted a TCR, Claimant's information was essentially the same as numerous other complainants who submitted information to the Commission well before Claimant was first contacted. While claimant's information was helpful, it did not significantly contribute to the successful enforcement of a judicial or administrative action or a related action.

- The Division opened its investigation over a year before Claimant submitted any information.
- Claimant's information was essentially the same as the information received from numerous other complainants.
- Claimant never submitted a TCR.
- The Commission did not commence its investigation as a direct or indirect result of Claimant's information. Information provided by Claimant was used in connection with the ^{Redacted} and the underlying investigation and was helpful, but did not significantly contribute to the resolution of the investigation.

Dated: September 27, 2018

Whistleblower Claims Review Staff
Commodity Futures Trading Commission
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