

In the Matter of NCA Redacted :)	
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Whistleblower Award Application of Redacted (“Claimant 1”),)	
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Whistleblower Award Application of Redacted (“Claimant 2”),)	
)	CFTC Whistleblower Award
Whistleblower Award Application of Redacted (“Claimant 3”), and)	Determination No. 19-WB-01
)	
Whistleblower Award Application of Redacted (“Claimant 4”))	
)	
)	

ORDER DETERMINING WHISTLEBLOWER AWARD CLAIMS

The Claims Review Staff (“CRS”) issued a Preliminary Determination recommending that Claimant 1 receive a whistleblower award in the amount of ^{***} percent (^{***}%) of the monetary sanctions to be collected in Redacted (“Covered Action”) and in a related action brought by the Redacted (“Federal Regulator”).¹ This recommended award percentage would yield a payout of over \$Redacted based on Redacted Claimant 1 subsequently provided written notice of his/her decision not to contest the Preliminary Determination.

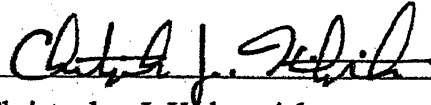
The recommendation of the CRS with respect to Claimant 1 is adopted. We find that the record demonstrates that he/she voluntarily provided original information to the Commission that led to the successful enforcement of the Covered Action pursuant to Section 23(b)(1) of the Commodity Exchange Act (“CEA” or “Act”). 7 U.S.C. § 26(b)(1) (2012). The information Claimant 1 provided was sufficiently specific, credible, and timely to cause the Commission to open an investigation. The Commission then brought a successful covered action based in part on conduct that was the subject of the original information provided by Claimant 1. Claimant 1 provided Commission staff with assistance throughout the course of the Commission’s investigation, including assistance and analysis in interpreting voluminous data.

¹ The Preliminary Determination further recommended that the award applications submitted by four other Claimants be denied. One of the Claimants withdrew his/her award application, and therefore his/her application is no longer pending before the Commission. The other three Claimants, Claimant 2, Claimant 3, and Claimant 4, failed to submit a request for reconsideration of the Preliminary Determination, and, therefore, the Preliminary Determination denying their claims for award has become the Final Order of the Commission. 17 C.F.R. § 165.7(h) (2018).

We also find that Claimant 1's information led to the successful resolution of a related action brought by the Federal Regulator because the action was based, at least in part, on the original information that Claimant 1 voluntarily submitted to the Commission, and led to the successful resolution of the Commission action. *See* 7 U.S.C. § 26(a)(5); 17 C.F.R. § 165.11.

It is hereby ORDERED that Claimant 1 shall receive an award of Redacted (**%) of the monetary sanctions collected, or to be collected, in the Covered Action and in the related action.

By the Commission.



Christopher J. Kirkpatrick

Secretary of the Commission

Commodity Futures Trading Commission

1155 21st Street, N.W.

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Dated: March 4, 2019