

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON APRIL 9, 2019 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.

\_\_\_\_\_)
In the Matter of Whistleblower Award Applications )
For Notice of Covered Action Redacted : )
Redacted )

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\_\_\_\_\_)

**PRELIMINARY DETERMINATION OF THE CLAIMS REVIEW STAFF**

The Commodity Futures Trading Commission (“Commission”) received whistleblower award applications from Claimant #1, Claimant #2, and Claimant #3 (collectively, “Claimants”) in response to Notice of Covered Action Redacted

. The Claims Review Staff has evaluated each of the applications in accordance with the Commission’s Whistleblower Rules (“Rules”), 17 C.F.R. pt. 165 (2018), promulgated pursuant to Section 23 of the Commodity Exchange Act (“CEA” or “Act”), 7 U.S.C. § 26 (2012). The Claims Review Staff sets forth its Preliminary Determination for Claimants as follows:

1. The Claims Review Staff has determined to recommend that the Commission deny all applications because they did not meet the requirements of Section 23 of the CEA and the Rules. Although Claimants are whistleblowers who voluntarily submitted some original information, Claimants’ information did not lead to the covered action Redacted

Redacted

2. None of the Claimants played a role in Redacted . In Redacted

. The Division

subsequently opened an investigation based on this Redacted . Redacted

3. Division staff responsible for Redacted did not use any information from any of the Claimants to bring, investigate, Redacted . Division staff did not contact any of the Claimants regarding Redacted . Accordingly, Claimants' information did not lead to Redacted .

4. Any claims for awards on related actions are also denied. Under the CEA, in order to be eligible for awards on Related Actions, a whistleblower must have provided information that led the Commission to a successful Commission action. *See* 17 C.F.R. §§ 165.2(m), 165.11. Since none of the Claimants contributed to Redacted , Claimants are ineligible for awards on any potential related actions.

Dated: February 7, 2019

Whistleblower Claims Review Staff  
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