

In the Matter of Claims for Award by:	)	
Redacted (“Claimant 1”),	)	
Redacted	)	
Redacted (“Claimant 2”),	)	CFTC Whistleblower Award
Redacted	)	Determination No. 20-WB-04
Redacted (“Claimant 3”),	)	
Redacted	)	
Redacted (“Claimant 4”),	)	
Redacted	)	
Redacted (“Claimant 5”),	)	
Redacted	)	
In Connection With	)	
Notice of Covered Action No. Redacted	)	
	)	

**ORDER DETERMINING WHISTLEBLOWER AWARD CLAIMS**

The Commodity Futures Trading Commission (“Commission”) received whistleblower award applications from five claimants in response to the Commission’s Notice of Covered Action No. Redacted regarding Redacted

Redacted (collectively, the “Covered Action”) and related actions taken by the  
Redacted.<sup>1</sup> The Claims Review Staff (“CRS”) issued a Preliminary Determination recommending that Claimant 1, Claimant 3, and Claimant 4 each receive whistleblower awards of %<sup>\*</sup>, and that Claimant 2 receive a slightly higher award of %<sup>\*</sup>, of the monetary sanctions collected in the Covered Action and the Related Action. As the Commission has collected a total of \$ Redacted in connection with the Covered Action, and the Redacted has

<sup>1</sup> Redacted

(collectively, referred to as the “Related Action”). Claimant 5 did not request an award in connection with the Related Action.

collected a total of \$ Redacted in connection with the Related Action, Claimant 1, Claimant 3, and Claimant 4 would each receive award payments of \$ Redacted, and Claimant 2 would receive an award payment of \$ Redacted, for a total award of \$ Redacted.

The recommendation of the CRS with respect to Claimant 1, Claimant 2, Claimant 3, and Claimant 4 is adopted. We find that the record demonstrates that Claimant 1, Claimant 2, Claimant 3, and Claimant 4 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, Claimant 2, Claimant 3, and Claimant 4 provided jointly by these claimants 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 these four claimants. In addition to providing information that led to the opening of the Commission's investigations, Claimant 1, Claimant 2, Claimant 3, and Claimant 4 each provided significant, ongoing assistance in connection with the primary investigation which merits increased awards for these four claimants. According to Commission staff, Claimant 1, Claimant 2, Claimant 3, and Claimant 4, through separate interviews, each provided crucial information that formed the core of the enforcement actions that the CFTC brought and settled against the defendants in the primary investigation. Claimant 2 will receive a slightly higher award because Claimant 2 Redacted

We also find that Claimant 1, Claimant 2, Claimant 3, and Claimant 4's information led to the successful resolution of the Related Action brought by the Redacted because the actions were based, at least in part, on the original information that Claimant 1, Claimant 2, Claimant 3, and Claimant 4 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.

In addition, the Preliminary Determination recommended that the award applications submitted by Claimant 5 be denied. The Preliminary Determination found that the information provided by Claimant 5 was not useful to the Commission's investigation and, therefore, did not lead to the successful enforcement of the Covered Action. Claimant 5 failed to submit a request for reconsideration of the Preliminary Determination; therefore, the Preliminary Determination denying his/her claim for award has become the Final Order of the Commission. 17 C.F.R. § 165.7(h) (2018).

Accordingly, it is hereby ORDERED that Claimant 1, Claimant 3, and Claimant 4 each receive whistleblower awards of \*%, and that Claimant 2 receive \*%, of the monetary sanctions collected in the Covered Action and in the Related Action.

By the Commission.

A handwritten signature in black ink that reads "Robert Sidman". The signature is written in a cursive style with a horizontal line underneath it.

Robert **Sidman**  
Deputy **Secretary** of the Commission  
Commodity Futures Trading Commission  
1155 21<sup>st</sup> Street, N.W.  
Washington, DC 20581

Dated: May 1, 2020