

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON OCTOBER 13, 2020 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) (2020), on July 15, 2020, 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. Pursuant to § 165.7(e)(2), on September 9, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s failure to respond 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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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 deficiency on or about May 8, 2020.<sup>1</sup> 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 letter.

Pursuant to § 165.7(e)(2), on September 9, 2020, 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.

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<sup>1</sup> Claimant’s email requested clarification of the Whistleblower Office’s deficiency letter. On May 8, 2020, the Whistleblower Office responded by email and explained that, pursuant to 17 C.F.R. § 165.7(a), the Commission will publish on the Whistleblower Office’s website a “Notice of Covered Action” when a Commission judicial or administrative action results in monetary sanctions totaling more than \$1,000,000. The Whistleblower Office’s response further explained that Claimant appeared to be seeking an award for a matter for which there was no judicial or administrative action brought by the Commission.

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Claimant responded to the Whistleblower Office’s written notification of the deficiency by submitting an email on or about July 17, 2020. 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 15, 2020 letter.

Pursuant to § 165.7(e)(2), on September 9, 2020, 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.

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### **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) (2020), on July 15, 2020, 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. Pursuant to § 165.7(e)(2), on September 9, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s failure to respond 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 13, 2020 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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Claimant responded to the Whistleblower Office’s written notification of the deficiency by submitting an email on or about July 17, 2020. 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 15, 2020 letter.

Pursuant to § 165.7(e)(2), on September 9, 2020, 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.

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Claimant responded to the Whistleblower Office’s written notification of the deficiency by submitting an email on or about July 16, 2020. 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 15, 2020 letter.

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Claimant responded to the Whistleblower Office’s written notification of the deficiency by submitting emails on or about July 15, 2020 and July 16, 2020.<sup>1</sup> 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 letter.

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Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiency. Pursuant to § 165.7(e)(2), on September 9, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s failure to respond 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 13, 2020 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) (2020), on July 15, 2020, 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 responded to the Whistleblower Office’s written notification of the deficiency by submitting an email on or about July 17, 2020. 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 15, 2020 letter.

Pursuant to § 165.7(e)(2), on September 9, 2020, 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 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 13, 2020 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) (2020), on July 15, 2020, 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. Pursuant to § 165.7(e)(2), on September 9, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s failure to respond 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 13, 2020 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 “CFTC” or “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 did not relate to a CFTC Notice of Covered Action<sup>1</sup> or a previously filed Form TCR.<sup>2</sup> Pursuant to 17 C.F.R. § 165.7(e)(1) (2020), on July 15, 2020, 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 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. Pursuant to § 165.7(e)(2), on September 9, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s failure to respond to the notification letter, the Whistleblower Office has determined to deny Claimant’s claim for award, given that the award application did 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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<sup>1</sup> The Whistleblower Office noted in the deficiency letter to Claimant that claim for award did not appear to relate at all to the substance of the CFTC’s action against Redacted

<sup>2</sup> The Whistleblower Office noted in the deficiency letter that it appears Claimant submitted a Form Redacted. The Whistleblower Office went on to suggest Claimant consider seeking an award through the Redacted