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In the Matter of Form

Redacted

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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 February 5, 2021, 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 April 5, 2021, 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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FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON MAY 5, 2021 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 February 5, 2021, 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.

Claimant responded to the Whistleblower Office’s written notification of the deficiency by submitting emails and documents on or about February 23, 2021 and March 3, 2021. 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 February 5, 2021 letter.

Pursuant to § 165.7(e)(2), on April 5, 2021, 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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FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON MAY 5, 2021 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 previously filed Form TCR.¹ Pursuant to 17 C.F.R. § 165.7(e)(1) (2020), on February 5, 2021, 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.

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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 April 5, 2021, 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 a previously filed Form TCR. Accordingly, Claimant’s award claim is hereby denied.

¹ Claimant’s Form WB-APP was also not timely filed, as required by the Commission’s rules. Rule 165.7(b)(2) requires that the Form WB-APP be received within 90 calendar days of the date of the Notice of Covered Action (“NCA”). *See* 17 C.F.R. § 165.7(b)(2). The deadline to submit a claim for NCA Redacted was Redacted, but Claimant filed the Form WB-APP on Redacted. Accordingly, even if a CFTC Form TCR were on file, the claim for award could still be denied as untimely.