

PUBLIC VERSION

In the Matter of Claim for Award by:

Redacted

("Claimant"),  
Redacted

In Connection With

Notice of Covered Action No. Redacted

)  
)  
)  
) CFTC Whistleblower Award  
) Determination No. 21-WB-03  
)  
)  
)

**ORDER DETERMINING WHISTLEBLOWER AWARD CLAIM**

The Commodity Futures Trading Commission ("Commission") received a whistleblower award application from one claimant in response to the above-referenced Notice of Covered Action regarding Redacted

Redacted ("Covered Action"). The Claims Review Staff ("CRS") issued a Preliminary Determination recommending that Claimant receive a whistleblower award in the amount of Redacted of the monetary sanctions collected, or to be collected, in the Covered Action. This recommended percentage would yield an award payment of Redacted, based on the funds collected in the Covered Action to date.<sup>1</sup>

The recommendation of the CRS with respect to Claimant 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, 7 U.S.C. § 26(b)(1) (2018). In the underlying matter, Claimant voluntarily provided original information to a self-regulatory organization, which later provided the Commission with the same information in a written referral. The information Claimant 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. Claimant has also met all eligibility requirements for an award, including filing a Form TCR with the Commission. See 17 C.F.R. §§ 165.5(b), 165.6 (2020). Finally, Claimant does not fall into any of the categories of individuals ineligible for an award, as set forth in 17 C.F.R. § 165.6(a).

It is hereby ORDERED that Claimant shall receive an award of Redacted of the monetary sanctions collected, or to be collected, in the Covered Action.

<sup>1</sup> If the Commission were to collect the full amount of Redacted ordered in the Covered Action, Claimant's award would result in total payment of Redacted.

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By the Commission.

A handwritten signature in black ink, reading "Robert Sidman". The signature is fluid and cursive, with the first name "Robert" and last name "Sidman" clearly distinguishable. It is positioned above a horizontal line.

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

Dated: April 30, 2021