In the Matter of Claim for Award by:

(“Claimant”),

CFTC Whistleblower Award Determination No. 21-WB-03

In Connection With Notice of Covered Action No.

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

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 of the monetary sanctions collected, or to be collected, in the Covered Action.

¹ If the Commission were to collect the full amount of award would result in total payment of ordered in the Covered Action, Claimant’s
By the Commission.

PUBLIC VERSION

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

Dated: April 30, 2021