

PUBLIC VERSION

In the Matter Claim for Award by:

Redacted ("Claimant"),
Form WB-APP Redacted

CFTC Whistleblower Award
Determination No. 21-WB-04

In Connection with
Notice of Covered Action No. Redacted

ORDER DETERMINING WHISTLEBLOWER AWARD CLAIM

The Commodity Futures Trading Commission ("Commission") received a whistleblower award application from one claimant in response to Redacted

Redacted (the "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.

The recommendation of the CRS with respect to Claimant is adopted. We find that the record demonstrates that Claimant 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) (2018). Claimant initially made contact with another regulator, which forwarded to the Commission Claimant's information and documents, including Redacted issued by the defendants. After making contact with the Commission, Claimant provided additional assistance directly to Division of Enforcement ("Division") staff. Division staff incorporated Claimant's information directly into its investigation and later relied upon Claimant's information as factual support in Enforcement documents, including the Commission's Complaint. Claimant significantly contributed to the success of the Covered Action by providing critical evidence, such as the Redacted, that was used by Division staff in its investigation and subsequent litigation against the defendants. Claimant has also met all eligibility requirements for an award. 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 Rule 165.6(a), 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.

PUBLIC VERSION

By the Commission.

A handwritten signature in black ink, reading "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 21st Street, N.W.
Washington, DC 20581

Dated: April 30, 2021