

PUBLIC VERSION

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON JULY 27, 2021, PURSUANT TO SECTION 165.7(h) 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 Claims for Award by:)
)
Redacted (“Claimant 1”),)
Redacted ;)
)
Redacted (“Claimant 2”),)
withdrawn pursuant to Section 165.7(d) ; and)
)
Redacted (“Claimant 3”),)
Redacted)
)
In Connection with)
Notice of Covered Action No. Redacted)
)
)

PRELIMINARY DETERMINATION OF THE CLAIMS REVIEW STAFF

The Commodity Futures Trading Commission (“Commission”) received whistleblower award applications from Claimant 1, Claimant 2, and Claimant 3, in response to the above-referenced Notice of Covered regarding Redacted

(“Covered Action”). The Claims Review Staff (“CRS”) has evaluated the applications of Claimant 1, Claimant 2, and Claimant 3 in accordance with the Commission’s Whistleblower Rules (“Rules”), 17 C.F.R. pt. 165 (2020), promulgated pursuant to Section 23 of the Commodity Exchange Act (“Act”), 7 U.S.C. § 26 (2018). The CRS sets forth its Preliminary Determination for Claimant 1, Claimant 2, and Claimant 3 as follows:

1. The CRS recommends that the Commission deny the award applications of Claimant 1, Claimant 2, and Claimant 3 because they do not meet the requirements of Section 23 of the Act and the Rules.

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2. Claimant 3 did not file a Form TCR, Tip Complaint or Referral, with the Commission so does not qualify as a whistleblower. *See* 17 C.F.R. §§ 165.2(p), 165.3.

3. No claimant provided original information to the Commission that led to the successful enforcement of the Covered Action. *See* 17 C.F.R. § 165.2(i). No claimant's information caused the Commission to commence the investigation underlying the Covered Action or contributed in any way to the investigation or the Covered Action. Division staff assigned to the investigation did not communicate with Claimant 1, Claimant 2, or Claimant 3 in regard to this investigation.

Dated: May 25, 2021

By: Whistleblower Claims Review Staff
Commodity Futures Trading Commission
1155 21st Street, N.W.
Washington, DC 20581