

PUBLIC VERSION

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON OCTOBER 5, 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 Claim for Award by:)
)
 Redacted (“Claimant”),)
 Form WB-APP, Redacted)
)
 In Connection with)
 Notice of Covered Action No. Redacted)
)
)

PRELIMINARY DETERMINATION OF THE CLAIMS REVIEW STAFF

The Commodity Futures Trading Commission (“Commission”) received a whistleblower award application on Form WB-APP, Application for Award for Original Information Provided Pursuant to Section 23 of the Commodity Exchange Act, from Claimant, in response to the above-listed Notice of Covered Action. The corresponding enforcement actions are Redacted

Redacted, and Redacted, Redacted (together, the “Redacted Orders”), as well as Redacted Redacted (the “Redacted Redacted Order”), which arose out of the same nucleus of operative facts as the Redacted Orders. See 17 C.F.R. § 165.2(a)(1). The Redacted Orders and the Redacted Order are, together, referred to herein as the “Covered Action.”

The Claims Review Staff (“CRS”) has evaluated Claimant’s application 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 (the “Act”), 7 U.S.C. § 26 (2018). The CRS sets forth its Preliminary Determination as follows:

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1. The CRS recommends that the Commission deny Claimant's award application because it does not meet the requirements of Section 23 of the Act and the Rules. Claimant did not provide original information to the Commission that led to the successful enforcement of the Covered Action. *See* 17 C.F.R. § 165.2(i). No information provided by Claimant caused the Commission to open the investigation that resulted in 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 in regard to the investigation.

Dated: August 3, 2021

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