

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON DECEMBER 27, 2022 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 and)
)
 Redacted (“Claimant 2”),)
 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 and Claimant 2 (collectively, “Claimants”) on the above-listed Forms WB-APP in response to the above-referenced Notice of Covered Action regarding

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(collectively, the

“Covered Action”). The Claims Review Staff (“CRS”) has evaluated the applications in accordance with the Commission’s Whistleblower Rules (“Rules”), 17 C.F.R. pt. 165, promulgated pursuant to Section 23 of the Commodity Exchange Act (“Act”), 7 U.S.C. § 26.

The CRS sets forth its Preliminary Determination for Claimant 1 and Claimant 2 as follows:

1. The CRS has determined to recommend that the Commission deny Claimant 1 and Claimant 2’s applications on the Covered Action because each application fails to meet the requirements of Section 23 of the Act and the Rules. Specifically, each of the Claimants’ information did not lead to the successful enforcement of the Covered Action.

PUBLIC VERSION

2. Neither Claimant 1 nor Claimant 2 provided any information to the Division of Enforcement (“Division”) that led to the opening of the investigation that would later result in the Covered Action.

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- The Division opened its investigation based on information from sources that were not Claimants.

Accordingly, the Commission did not commence its investigation as a direct or indirect result of any of Claimant 1’s or Claimant 2’s information. *See* 17 C.F.R. § 165.2(i)(1).

3. Neither Claimant 1 nor Claimant 2 provided any information that contributed in any way to the Division’s investigative findings that are the basis of the Covered Action. Accordingly, neither Claimant 1’s nor Claimant 2’s information significantly contributed to the Covered Action. *See* 17 C.F.R. § 165.2(i)(2).

Dated: October 26, 2022

Whistleblower Claims Review Staff
Commodity Futures Trading Commission
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