

UNITED STATES OF AMERICA  
Before the  
COMMODITY FUTURES TRADING COMMISSION

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In the Matter of Claims for Award by:	)	
	)	
Redacted ("Claimant 1"),	)	
Redacted	)	CFTC Whistleblower Award
	)	Determination No. 23-WB-01
Redacted ("Claimant 2"),	)	
Redacted	)	
	)	
Redacted ("Claimant 3"),	)	
Redacted	)	
	)	
Redacted ("Claimant 4"),	)	
Redacted	)	
	)	
In Connection with	)	
Noticed of Covered Action No. Redacted	)	
	)	
	)	

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**ORDER DETERMINING WHISTLEBLOWER AWARD CLAIMS**

The Commodity Futures Trading Commission ("Commission") received whistleblower award applications from four claimants in response to the above-referenced Notice of Covered Action regarding Redacted

(the "Covered Action"). The Claims Review Staff ("CRS") issued a Preliminary Determination recommending that Claimant 1 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.<sup>1</sup>

The recommendation of the CRS with respect to Claimant 1 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). In the underlying matter, Claimant 1 voluntarily provided original information to another agency, which later provided the Commission with the same information. The information Claimant 1 provided was sufficiently specific, credible, and timely to cause the Commission to open an investigation. Then, after providing the initial information that led to the opening of the investigation, Claimant 1 provided additional, ongoing

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<sup>1</sup> Redacted

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support to Division of Enforcement (“Division”) staff by participating in a telephonic interview. Information provided during the interview prompted further inquiry by Division staff to determine whether the <sup>Redacted</sup> . The Commission later brought a successful covered action based in part on conduct that was the subject of the original information provided by Claimant 1. Claimant 1 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. Finally, Claimant 1 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).

In addition, the Preliminary Determination recommended that the award applications submitted by Claimant 2, Claimant 3, and Claimant 4 be denied. The Preliminary Determination found that the information provided by Claimant 2, Claimant 3, and Claimant 4 was: (1) publicly available or already known to Division staff and not original information; and/or (2) not useful to the Commission’s investigation and, therefore, did not lead to the successful enforcement of the Covered Action. Claimant 2, Claimant 3, and Claimant 4 did not submit a request for reconsideration of the Preliminary Determination; therefore, the Preliminary Determination denying their claims for award has become the Final Order of the Commission. 17 C.F.R. § 165.7(h).

It is hereby ORDERED that Claimant 1 shall receive an award of <sup>Redacted</sup> of the monetary sanctions collected, or to be collected, in the Covered Action.

By the Commission.

A handwritten signature in black ink that reads "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 21<sup>st</sup> Street, N.W.  
Washington, DC 20581

Dated: February 21, 2023