

The Claims Review Staff (“CRS”) has evaluated Claimant’s award claim for the Citi Action in accordance with the Commission’s Whistleblower Rules (“Rules”), 17 C.F.R. pt. 165, promulgated pursuant to Section 23 of the CEA, 7 U.S.C. § 26. The CRS sets forth its Preliminary Determination for Claimant as follows:

1. The CRS has determined to recommend that the Commission deny the applications because they do not meet requirements for an award.

2. Redacted

led to the Division opening its investigation.

3. Claimants did not contribute Redacted

Division staff Redacted did not contact any of Claimants or use their submissions to investigate, bring, Redacted . Division staff had not heard of Claimant 1 or Claimant 2 until the Whistleblower Office informed staff of their whistleblower award applications.

4. Redacted

Division team had no contact with Claimant 3 Redacted

Redacted

Redacted

PUBLIC VERSION

Redacted

Thus, Claimants' information did not lead to the successful enforcement

Redacted

Dated: March 3, 2023

Whistleblower Claims Review Staff
Commodity Futures Trading Commission
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