FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON MAY 3, 2023 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
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 (collectively, "Claimants") in response to the above-referenced Notice of Covered Action. The corresponding enforcement action is Redacted

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 the 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 1155 21<sup>st</sup> Street, N.W. Washington, DC 20581