

UNITED STATES OF AMERICA
Before the
COMMODITY FUTURES TRADING COMMISSION

In the Matter of Claim for Award by:
Redacted ("Claimant"),
Redacted
CFTC Whistleblower Award
Determination No. 23-WB-07
In Connection with
Notice of Covered Action No. Redacted

ORDER DETERMINING WHISTLEBLOWER AWARD CLAIM

The Commodity Futures Trading Commission ("Commission") received a whistleblower award application on Form WB-APP from Claimant in response to the above-referenced Notice of Covered Action regarding Redacted

("Covered Action"). The Claims Review Staff ("CRS") evaluated the application 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, and issued a Preliminary Determination. The Preliminary Determination recommended an award of *** of the monetary sanctions collected in the Covered Action. The Commission hereby adopts this recommendation for the reasons that the CRS provided.

Claimant is eligible for a whistleblower award because Claimant is a whistleblower who voluntarily provided the Commission original information that led to the successful enforcement of the Covered Action. See 17 C.F.R. § 165.5. Further, Claimant does not fall into any of the categories of individuals ineligible for awards listed in Rule 165.6(a), id. § 165.6(a).

In recommending an award percentage in its Preliminary Determination, the CRS considered the criteria in Rule 165.9, 17 C.F.R. § 165.9, especially the significance of Claimant's information and the degree of assistance that Claimant provided staff of the Commission. First, Claimant's information was highly significant because it caused the Division of Enforcement ("Division") to open the investigation underlying the Covered Action and described the conduct that the Commission ultimately charged in the Covered Action. See 17 C.F.R. § 165.9(b)(1). Claimant's information precisely and accurately described the misconduct Redacted, both factually and legally. Claimant's comprehensive TCR submission and additional information conserved substantial resources for the Commission. See id. § 165.9(b)(1)(i). Collectively, Claimant's information strongly supported all the charges in the Covered Action. See id. § 165.9(b)(1)(ii).

Second, Division staff were in contact with Claimant multiple times during the investigation leading to the Covered Action, and they received additional information from Claimant through these communications. Redacted

Redacted . Claimant provided key evidence for the Covered Action and interpreted it. See 17 C.F.R. § 165.9(b)(2)(i). Claimant provided all the assistance that Division staff requested.

The Commission agrees with the CRS's recommended award percentage. As of the date of this Order Determining Whistleblower Award Claims, Redacted of the Redacted in monetary sanctions imposed in the Covered Action has been collected, so this award will yield a payment of Redacted for Claimant. Accordingly, it is hereby ORDERED that Claimant shall receive *** of the monetary sanctions collected, or to be collected, in the Covered Action.

By the Commission.



Robert Sidman
Deputy Secretary of the Commission
Commodity Futures Trading Commission

Dated: September 27, 2023