

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON JANUARY 14, 2025 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 Claim for Award by:

Redacted (“Claimant”),
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 on Forms WB-APP from Claimant in response to the above-referenced Notice of Covered Action regarding Redacted

(collectively, “Orders” or “Covered Action”). The Orders imposed combined monetary sanctions totaling Redacted, of which Redacted has been collected.

The Claims Review Staff (“CRS”) has evaluated Claimants’ 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 as follows:

1. The CRS has determined to recommend that the Commission deny Claimant’s application because it fails to meet the requirements of Section 23 of the Act and the Rules.
2. Claimant did not provide information that led to the successful enforcement of the Covered Action, as defined by Rule 165.2(i), 17 C.F.R. § 165.2(i). Such information is a requirement for an award. *See id.* § 165.5(a).

- Staff of the Commission’s Division of Enforcement (“Division”) who were assigned to the Covered Action obtained all the information for the Covered Action, including the information that caused the opening of the underlying investigation, from sources other than Claimant.
- These Division staff were not aware of and did not communicate with Claimant in connection with the Covered Action.
- Division staff verified with Redacted (“Other Authority”), with which they collaborated on the Covered Action, that Claimant did not help Other Authority in its own investigation.
- Claimant’s information did not contribute at all to the Covered Action, because Division staff assigned to the Covered Action did not use any of Claimant’s information in the course of the Covered Action.

By: Whistleblower Claims Review Staff
Commodity Futures Trading Commission

Dated: November 14, 2024