

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON SEPTEMBER 22, 2026, 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	(“Claimant”),	)	
	Redacted	)	CFTC Whistleblower Award
		)	Determination No. 26-WB-28
In Connection with		)	
Notice of Covered Action No. Redacted		)	
		)	

PRELIMINARY DETERMINATION OF THE CLAIMS REVIEW STAFF

The Commodity Futures Trading Commission (“Commission”) received a whistleblower award application from Claimant in response to the above-referenced Notice of Covered Action regarding Redacted

(“Order” or “Covered Action”). The charges in the Order related to ***

Redacted . The Order imposed monetary sanctions totaling Redacted .

Claimant seeks an award for information provided both as to the Covered Action and as to Redacted

(the “Other Action”). The Claims Review Staff (“CRS”) has evaluated Claimant’s 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.

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. To be eligible for an award, a whistleblower must “[p]rovide the Commission, upon its staff’s request ... [a]ll additional information in the whistleblower’s possession that is related to the subject matter of the whistleblower’s submission related to the whistleblower’s application for an award.” 17 C.F.R. § 165.5(b)(3).

3. On Redacted, the Whistleblower Office sent Claimant a letter (“Letter”). The Letter requested information about Redacted

. This information related to Redacted the subject of Claimant’s submissions in connection with the Covered Action. Thus, the Letter sought information that falls within Rule 165.5(b)(3)(ii), § 165.5(b)(3)(ii).

4. The Letter requested a response Redacted by Redacted. Claimant has not responded to the Letter, so *** fails to satisfy Rule 165.5(b)(3) and is ineligible for an award. Moreover, Claimant’s failure to answer the Letter’s questions about Redacted leaves the CRS with an incomplete record Redacted.

5. Claimant’s failure to respond to the Letter also makes him/her ineligible for any award on the Other Action. The Other Action award claim is predicated on Redacted the same conduct or subject matter on which the Covered Action claim is based Redacted

. Thus, the Letter’s request for additional information about Redacted covered information “related to the subject matter of the whistleblower’s submission.” Having failed to provide that information, Claimant is ineligible for an award for the Other Action under Rule 165.5(b)(3)(ii).

6. Besides failing to satisfy Rule 165.5(b)(3), Claimant is procedurally barred from receiving an award on the Other Action because Claimant did not file a new Form WB-APP following a final judgment in the Other Action. Redacted

Claimant's only assertion of a related action claim remains the one in his/her sole Form WB-APP, dated Redacted, which Claimant did not file during the 90 days following either final judgment in the Other Action under Rule 165.7(b)(3)(i), 17 C.F.R. § 165.7(b)(3)(i). For this additional reason, the CRS recommends denying Claimant's related action claim.

By: Whistleblower Claims Review Staff
Commodity Futures Trading Commission

Dated: July 21, 2026