

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON NOVEMBER 6, 2017 PURSUANT TO SECTION 165.7(e)(2) 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 Form*

Redacted

### **PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE**

The Commodity Futures Trading Commission (the “Commission”) received the above-referenced whistleblower award claim from <sup>Redacted</sup> (“Claimant”). The Whistleblower Office of the Commission has reviewed the whistleblower award claim filed on Form WB-APP. The Whistleblower Office identified that Claimant’s WB-APP was deficient, given that it does not relate to a Notice of Covered Action. Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on August 1, 2017, the Whistleblower Office notified Claimant in writing of the identified deficiency in the Form WB-APP and provided Claimant with an opportunity to correct the deficiency or to withdraw the Form WB-APP. Claimant had thirty (30) days from the date of the notification letter to respond and to correct the deficiency.

Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiency. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiency. Accordingly, Claimant’s award claim is hereby denied.

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Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiency. Accordingly, Claimant’s award claim is hereby denied.

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Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiency. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiency. Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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<sup>1</sup> The Whistleblower Office sent the deficiency letter to both a residential and email address provided by Claimant in the Form WB-APP. The Whistleblower Office also left voicemail messages for Claimant on August 11, 2017 and August 15, 2017 to inform \*\*\* that it had sent a time sensitive deficiency letter; however, Claimant did not return the Whistleblower Office’s voicemail messages until August 24, 2017. Per Claimant’s request, on August 24, 2017, the Whistleblower Office sent an additional copy of the deficiency letter to Claimant by email.

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Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days, or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant appears to have responded to the Whistleblower Office’s written notification of the deficiencies by submitting a Form TCR on or about August 23, 2017. After further review of Claimant’s Form WB-APP and that August 23, 2017 Form TCR, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct this deficiency identified in the Whistleblower Office’s August 1, 2017 letter.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and the Claimant’s apparent response to the notification letter, the Whistleblower Office has determined to deny Claimant’s claim for award, given that the award application does not relate to a Notice of Covered Action. Accordingly, Claimant’s award claim is hereby denied.

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Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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<sup>1</sup> The Whistleblower Office also notes that the WB-APP is time barred pursuant to § 165.7(a), given that Claimant filed the WB-APP after the due date of Redacted for Notice of Covered Action Redacted. In further support of this disposition, and prior to sending the notification letter, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that Claimant did not contribute to that enforcement action.

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Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days, or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Both Claimant #1 and Claimant #2 failed to submit a timely response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant #1 and Claimant #2 are hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant #1 and Claimant #2 failed to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant #1 and Claimant #2 will be prohibited from pursuing an appeal under § 165.13.

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<sup>1</sup> In further support of this disposition, and prior to sending the notification letters, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that neither Claimant #1 nor Claimant #2 contributed in any way to that enforcement action.

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Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Both Claimant #1 and Claimant #2 failed to submit a timely response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant #1 and Claimant #2’s award claims are hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant #1 and Claimant #2 failed to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant #1 and Claimant #2 will be prohibited from pursuing an appeal under §165.13.

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<sup>1</sup> In further support of this disposition, and prior to sending the notification letters, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that neither Claimant #1 nor Claimant #2 contributed in any way to that enforcement action.

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Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Both Claimant #1 and Claimant #2 failed to submit a response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant #1 and Claimant #2’s award claims are hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant #1 and Claimant #2 failed to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant #1 and Claimant #2 will be prohibited from pursuing an appeal under §165.13.

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<sup>1</sup> In further support of this disposition, and prior to sending the notification letters, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action that neither Claimant #1 nor Claimant #2 contributed in any way to the underlying enforcement action.

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Pursuant to § 165.7(e)(1), if the claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant #1, Claimant #2, and Claimant #3 each failed to submit a response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant #1, Claimant #2, and Claimant #3’s award claims are hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. The Claimants failed to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and the Claimants will be prohibited from pursuing an appeal under § 165.13.

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<sup>1</sup> In further support of this disposition, and prior to sending the notification letters, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that none of the Claimants contributed in any way to that enforcement action.

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Both Claimant #1 and Claimant #2 failed to submit a timely response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant #1 and Claimant #2’s award claims are hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant #1 and Claimant #2 failed to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant #1 and Claimant #2 will be prohibited from pursuing an appeal under §165.13.

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<sup>1</sup> In further support of this disposition, and prior to sending the notification letters, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that neither Claimant #1 nor Claimant #2 contributed in any way to that enforcement action.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON NOVEMBER 6, 2017 PURSUANT TO SECTION 165.7(e)(2) OF THE WHISTLEBLOWER RULES, 17 C.F.R. PART 165, ENACTED PURSUANT TO SECTION 23 OF THE COMMODITY EXCHANGE ACT, 7 U.S.C. § 26.

Notice of Covered Action Redacted

### **PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE**

In response to the above-referenced Notice of Covered Action, the Commodity Futures Trading Commission (the “Commission”) received whistleblower award claims from Redacted (“Claimant #1”), Redacted (Claimant #2), and Redacted (Claimant #3) (collectively, “the Claimants”). The Whistleblower Office of the Commission has reviewed the whistleblower award claims filed on Form WB-APP. The Whistleblower Office identified that the Claimants’ Form WB-APPs were deficient, given that the award applications did not relate to the Notice of Covered Action or a previously filed Form TCR.<sup>1</sup> Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on August 1, 2017, the Whistleblower Office notified the Claimants in writing of the identified deficiencies in the Form WB-APPs and provided the Claimants with an opportunity to correct the deficiencies or to withdraw their respective Form WB-APP. The Claimants had thirty (30) days from the date of the notification letter to respond and to correct the deficiencies.

Pursuant to § 165.7(e)(1), if the claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

On August 2, 2016, Claimant #3 withdrew<sup>\*\*\*</sup> claim for award and, therefore, will no longer be considered. Claimant #1 and Claimant #2 failed to submit a timely response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant #1 and Claimant #2’s award claims are hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant #1 and Claimant #2 failed to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant #1 and Claimant #2 will be prohibited from pursuing an appeal under § 165.13.

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<sup>1</sup> In further support of this disposition, and prior to sending the notification letters, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that none of the Claimants contributed in any way to that enforcement action.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON NOVEMBER 6, 2017 PURSUANT TO SECTION 165.7(e)(2) OF THE WHISTLEBLOWER RULES, 17 C.F.R. PART 165, ENACTED PURSUANT TO SECTION 23 OF THE COMMODITY EXCHANGE ACT, 7 U.S.C. § 26.

Notice of Covered Action Redacted

### **PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE**

In response to the above-referenced Notice of Covered Action, the Commodity Futures Trading Commission (the “Commission”) received whistleblower award claims from Redacted (“Claimant #1”), Redacted (Claimant #2), and Redacted (Claimant #3) (collectively, “the Claimants”). The Whistleblower Office of the Commission has reviewed the whistleblower award claims filed on Form WB-APP. The Whistleblower Office identified that the Claimants’ Form WB-APPs were deficient, given that the award applications did not relate to the Notice of Covered Action or a previously filed Form TCR.<sup>1</sup> Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on August 1, 2017, the Whistleblower Office notified the Claimants in writing of the identified deficiencies in the Form WB-APPs and provided the Claimants with an opportunity to correct the deficiencies or to withdraw their respective Form WB-APP. The Claimants had thirty (30) days from the date of the notification letter to respond and to correct the deficiencies.

Pursuant to § 165.7(e)(1), if the claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

On August 2, 2016, Claimant #3 withdrew<sup>\*\*\*</sup> claim for award and, therefore, will no longer be considered. Claimant #1 and Claimant #2 failed to submit a timely response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant #1 and Claimant #2’s award claims are hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant #1 and Claimant #2 failed to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant #1 and Claimant #2 will be prohibited from pursuing an appeal under § 165.13.

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<sup>1</sup> In further support of this disposition, and prior to sending the notification letters, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that none of the Claimants contributed in any way to that enforcement action.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON NOVEMBER 6, 2017 PURSUANT TO SECTION 165.7(e)(2) 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.

Notice of Covered Action Redacted

### **PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE**

In response to the above-referenced Notice of Covered Action, the Commodity Futures Trading Commission (the “Commission”) received whistleblower award claims from Redacted (“Claimant #1”) and Redacted (Claimant #2) (collectively, “the Claimants”). The Whistleblower Office of the Commission has reviewed the whistleblower award claims filed on Form WB-APP. The Whistleblower Office identified that the Claimants’ Form WB-APPs were deficient given that the award applications did not relate to the Notice of Covered Action or a previously filed Form TCR.<sup>1</sup> Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on August 1, 2017, the Whistleblower Office notified Claimant #1 and Claimant #2 in writing of the identified deficiencies in the Form WB-APPs and provided Claimant #1 and Claimant #2 with an opportunity to correct the deficiencies or to withdraw their respective Form WB-APP. Claimant #1 and Claimant #2 had thirty (30) days from the date of the notification letter to respond and to correct the deficiencies.

Pursuant to § 165.7(e)(1), if a claimant does not respond in thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant #1 and Claimant #2 failed to submit a response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant #1 and Claimant #2’s award claims are hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant #1 and Claimant #2 failed to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant #1 and Claimant #2 will be prohibited from pursuing an appeal under § 165.13.

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<sup>1</sup> In further support of this disposition, and prior to sending the notification letters, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that neither Claimant #1 nor Claimant #2 contributed in any way to that enforcement action.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON NOVEMBER 6, 2017 PURSUANT TO SECTION 165.7(e)(2) 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.

Notice of Covered Action Redacted

### **PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE**

In response to the above-referenced Notice of Covered Action, the Commodity Futures Trading Commission (the “Commission”) received a whistleblower award claim from Redacted (“Claimant”). The Whistleblower Office of the Commission has reviewed the whistleblower award claim filed on Form WB-APP. The Whistleblower Office identified that Claimant’s WB-APP was deficient, given that the award application did not relate to the Notice of Covered Action or a previously filed Form TCR.<sup>1</sup> Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on August 1, 2017, the Whistleblower Office notified Claimant in writing of the identified deficiencies in the Form WB-APP and provided Claimant with an opportunity to correct the deficiencies or to withdraw the Form WB-APP. Claimant had thirty (30) days from the date of the notification letter to respond and to correct the deficiencies.

Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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<sup>1</sup> In further support of this disposition, and prior to sending the notification letter, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that Claimant did not contribute to that enforcement action.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON NOVEMBER 6, 2017 PURSUANT TO SECTION 165.7(e)(2) 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.

Notice of Covered Action Redacted

### **PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE**

In response to the above-referenced Notice of Covered Action, the Commodity Futures Trading Commission (the “Commission”) received a whistleblower award claim from Redacted (“Claimant”). The Whistleblower Office of the Commission has reviewed the whistleblower award claim filed on Form WB-APP. The Whistleblower Office identified that Claimant’s WB-APP was deficient, given that the award application did not relate to the Notice of Covered Action or a previously filed Form TCR.<sup>1</sup> Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on August 1, 2017, the Whistleblower Office notified Claimant in writing of the identified deficiencies in the Form WB-APP and provided Claimant with an opportunity to correct the deficiencies or to withdraw the Form WB-APP. Claimant had thirty (30) days from the date of the notification letter to respond and to correct the deficiencies.

Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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<sup>1</sup> In further support of this disposition, and prior to sending the notification letter, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that Claimant did not contribute to that enforcement action.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON NOVEMBER 6, 2017 PURSUANT TO SECTION 165.7(e)(2) 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.

Notice of Covered Action Redacted

### **PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE**

In response to the above-referenced Notice of Covered Action, the Commodity Futures Trading Commission (the “Commission”) received whistleblower award claims from Redacted (“Claimant #1”) and Redacted (Claimant #2). The Whistleblower Office of the Commission has reviewed the whistleblower award claims filed on Form WB-APP. The Whistleblower Office identified that the Claimants’ Form WB-APPs were deficient, given that both award applications did not relate to the Notice of Covered Action, or a previously filed Form TCR.<sup>1</sup> Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on August 1, 2017, the Whistleblower Office notified the Claimants in writing of the identified deficiencies in the Form WB-APPs and provided the Claimants with an opportunity to correct the deficiencies or to withdraw their respective Form WB-APP.<sup>2</sup> The Claimants each had thirty (30) days from the date of the notification letter to respond and to correct the deficiencies.

Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Both Claimant #1 and Claimant #2 failed to submit a timely response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant #1 and Claimant #2’s award claims are hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant #1 and Claimant #2 failed to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant #1 and Claimant #2 will be prohibited from pursuing an appeal under § 165.13.

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<sup>1</sup> In further support of this disposition, and prior to sending the notification letters, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that neither Claimant #1 nor Claimant #2 contributed in any way to that underlying enforcement action.

<sup>2</sup> The Whistleblower Office sent the deficiency letter to both a residential and email address provided by Claimant #2 in the Form WB-APP. The Whistleblower Office also attempted to contact Claimant #2 on multiple occasions at the telephone number provided by Claimant #2. The Whistleblower Office left messages for Claimant #2 and requested that <sup>\*\*\*</sup> contact the Whistleblower Office; however, Claimant #2 did not respond.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON NOVEMBER 6, 2017 PURSUANT TO SECTION 165.7(e)(2) 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.

Notice of Covered Action <sup>Redacted</sup>

### **PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE**

In response to the above-referenced Notice of Covered Action, the Commodity Futures Trading Commission (the “Commission”) received a whistleblower award claim from <sup>Redacted</sup> (“Claimant”). The Whistleblower Office of the Commission has reviewed the whistleblower award claim filed on Form WB-APP. The Whistleblower Office identified that Claimant’s WB-APP was deficient, given that the award application did not relate to the Notice of Covered Action or a previously filed Form TCR.<sup>1</sup> Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on August 1, 2017, the Whistleblower Office notified Claimant in writing of the identified deficiencies in the Form WB-APP and provided Claimant with an opportunity to correct the deficiencies or to withdraw the Form WB-APP. Claimant had thirty (30) days from the date of the notification letter to respond and to correct the deficiencies.

Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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<sup>1</sup> In further support of this disposition, and prior to sending the notification letter, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action <sup>Redacted</sup> that Claimant did not contribute to that enforcement action.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON NOVEMBER 6, 2017 PURSUANT TO SECTION 165.7(e)(2) 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.

Notice of Covered Action <sup>Redacted</sup>

### **PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE**

In response to the above-referenced Notice of Covered Action, the Commodity Futures Trading Commission (the “Commission”) received a whistleblower award claim from <sup>Redacted</sup> (“Claimant”). The Whistleblower Office of the Commission has reviewed the whistleblower award claim filed on Form WB-APP. The Whistleblower Office identified that Claimant’s WB-APP was deficient, given that the award application did not relate to the Notice of Covered Action or a previously filed Form TCR.<sup>1</sup> Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on August 1, 2017, the Whistleblower Office notified Claimant in writing of the identified deficiencies in the Form WB-APP and provided Claimant with an opportunity to correct the deficiencies or to withdraw the Form WB-APP. Claimant had thirty (30) days from the date of the notification letter to respond and to correct the deficiencies.

Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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<sup>1</sup> In further support of this disposition, and prior to sending the notification letter, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action <sup>Redacted</sup> that Claimant did not contribute to that enforcement action.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON NOVEMBER 6, 2017 PURSUANT TO SECTION 165.7(e)(2) 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.

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Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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<sup>1</sup> In further support of this disposition, and prior to sending the notification letter, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that Claimant did not contribute to that enforcement action.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON NOVEMBER 6, 2017 PURSUANT TO SECTION 165.7(e)(2) 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.

Notice of Covered Action <sup>Redacted</sup>

### **PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE**

In response to the above-referenced Notice of Covered Action, the Commodity Futures Trading Commission (the “Commission”) received a whistleblower award claim from <sup>Redacted</sup> (“Claimant”). The Whistleblower Office of the Commission has reviewed the whistleblower award claim filed on Form WB-APP. The Whistleblower Office identified that Claimant’s WB-APP was deficient, given that the award application did not relate to the Notice of Covered Action or a previously filed Form TCR.<sup>1</sup> Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on August 1, 2017, the Whistleblower Office notified Claimant in writing of the identified deficiencies in the Form WB-APP and provided Claimant with an opportunity to correct the deficiencies or to withdraw the Form WB-APP. Claimant had thirty (30) days from the date of the notification letter to respond and to correct the deficiencies.

Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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<sup>1</sup> In further support of this disposition, and prior to sending the notification letter, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action <sup>Redacted</sup> that Claimant did not contribute to that enforcement action.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON NOVEMBER 6, 2017 PURSUANT TO SECTION 165.7(e)(2) 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.

Notice of Covered Action Redacted

### **PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE**

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Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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<sup>1</sup> In further support of this disposition, and prior to sending the notification letter, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that Claimant did not contribute to that enforcement action.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON NOVEMBER 6, 2017 PURSUANT TO SECTION 165.7(e)(2) 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.

Notice of Covered Action Redacted

## PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE

In response to the above-referenced Notice of Covered Action, the Commodity Futures Trading Commission (the “Commission”) received a whistleblower award claim from Redacted (“Claimant”). The Whistleblower Office of the Commission has reviewed the whistleblower award claim filed on Form WB-APP. The Whistleblower Office identified that Claimant’s WB-APP was deficient, given that the award application did not relate to the Notice of Covered Action or a previously filed Form TCR.<sup>1</sup> Pursuant to 17 C.F.R. § 165.7(e)(1) (2017), on August 1, 2017, the Whistleblower Office notified Claimant in writing of the identified deficiencies in the Form WB-APP and provided Claimant with an opportunity to correct the deficiencies or to withdraw the Form WB-APP. Claimant had thirty (30) days from the date of the notification letter to respond and to correct the deficiencies.

Pursuant to § 165.7(e)(1), if a claimant does not respond to the notice of deficiency within thirty (30) days, or if the response does not include information showing that the WB-APP relates to a Notice of Covered Action, a final judgment in a related action, or a previously filed Form TCR, the Whistleblower Office will issue a Proposed Final Disposition.

Claimant failed to submit a response to the Whistleblower Office’s written notification of the deficiencies. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on October 4, 2017, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Claimant’s failure to submit a timely response to the written notice from the Whistleblower Office constitutes a failure to exhaust administrative remedies, and Claimant will be prohibited from pursuing an appeal under § 165.13.

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<sup>1</sup> The Whistleblower Office also notes that the WB-APP is time barred pursuant to § 165.7(a), given that Claimant filed the WB-APP after the due date of Redacted for Notice of Covered Action Redacted. In further support of this disposition, and prior to sending the notification letter, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action Redacted that Claimant did not contribute to that enforcement action.