

UNITED STATES OF AMERICA  
before the  
COMMODITY FUTURES TRADING COMMISSION

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In the Matters of:

Whistleblower Award Application of Applicant 1 – Form WB-APP

and

Whistleblower Award Application of Applicant 2 – Form WB-APP

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**ORDER**

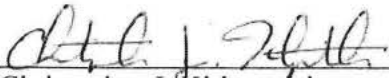
Attached is the Commodity Futures Trading Commission Determination pertaining to the whistleblower award applications of Applicant 1 (“Applicant 1”), submitted on Form WB-APP, and Applicant 2 (“Applicant 2”), submitted on Form WB-APP, in connection with Notice of Covered No. .

Pursuant to the Whistleblower Rules (17 C.F.R. pt. 165), a Determination of the Whistleblower Award Determination Panel is the final determination of the Commission. Therefore, as set forth in the attached, it is the determination and Final Order of the Commission that this whistleblower award application of Applicant 1 be approved and the award application of Applicant 2 be denied. The Whistleblower Award Panel has determined, and it is the order of the Commission, that Applicant 1 shall receive an award of % of the monetary sanctions collected, which as of the date of this order, will exceed \$290,000. The denial of Applicant 2’s whistleblower award application is without prejudice to any other award application submitted by Applicant 2, including applications submitted in the future, regarding other covered judicial or administrative actions or related actions.

**PUBLIC VERSION**

In accordance with 7 U.S.C. § 26(f) and 17 C.F.R. § 165.13, if you wish to appeal this Final Commission Determination and Order, you must appeal to the appropriate court of appeals of the United States not more than 30 days after this Final Order of the Commission is issued.

Decision Issued: September 29, 2015

  
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Christopher J. Kirkpatrick  
Secretary of the Commission  
Commodity Futures Trading Commission  
1155 21<sup>st</sup> Street, N.W.  
Washington, DC 20581

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**WHISTLEBLOWER AWARD DETERMINATION**

Before the Whistleblower Award Determination Panel of the Commodity Futures Trading Commission (“Commission”) are the whistleblower award applications of Applicant 1 (“Applicant 1”), submitted on Form WB-APP, and Applicant 2 (“Applicant 2”), submitted on Form WB-APP. Both applications were submitted in connection to Notice of Covered Action No. . For the reasons set forth below, Applicant 1’s application is approved and Applicant 1 is granted an award in the amount of % of the monetary sanctions collected, and Applicant 2’s application is denied.

**IT IS HEREBY DETERMINED that:**

1. Applicant 1’s award application is granted because Applicant 1 meets the requirements of Section 23 of the Commodity Exchange Act (7 U.S.C. § 26) and the Whistleblower Rules (17 C.F.R. pt. 165). Applicant 1 voluntarily provided original information that caused the Commission to launch an investigation that led to a successful enforcement action in which the Commission secured an order for monetary sanctions exceeding \$1 million. That successful enforcement action was the subject of Notice of Covered Action No. . The information provided by Applicant 1 was sufficiently specific, credible, and timely to cause

the Commission to open an investigation. Furthermore, the information provided by Applicant 1 allowed the Commission to conserve valuable resources by focusing the Commission's attention on the marketplace misconduct. Applicant 1 also meets the eligibility requirements necessary to be able to receive an award.

2. Applicant 2's award application is denied because the information provided by Applicant 2 did not lead to the successful enforcement of the Commission covered judicial or administrative action or related action that is the subject of Notice of Covered Action No.

, as required by section 23(b)(1) of the Commodity Exchange Act (7 U.S.C. § 26(b)(1)) and Rules 165.2(i) and 165.5(a)(3) of the Commission's Whistleblower Rules (17 C.F.R. §§ 165.2(i), 165.5(a)(3)). The information provided by Applicant 2 did not cause the Commission staff to commence an examination, open an investigation, reopen an investigation that the Commission had closed, or to inquire concerning different conduct as part of a current examination or investigation related to the order that is the subject of Notice of Covered Action No. . Nor did the Claimant's information significantly contribute to the success of the Commission matter already under investigation that resulted in that order. The denial of Applicant 2's whistleblower award application is without prejudice to any other award application submitted by Applicant 2, including applications submitted in the future, regarding other covered judicial or administrative actions or related actions.

3. Accordingly, it is hereby DETERMINED that Applicant 1 shall receive an award of % of the monetary sanctions collected in the covered action, including any monetary sanctions collected after the date of the related order, and that the award application of Applicant 2 is denied.

Dated: September 25, 2015

Whistleblower Award Determination Panel  
Commodity Futures Trading Commission  
1155 21<sup>st</sup> Street, N.W.  
Washington, DC 20581