

UNITED STATES OF AMERICA
before the
COMMODITY FUTURES TRADING COMMISSION

_____)	
In the Matter of:)	
)	
Whistleblower Award Application of	Applicant 1)	
Applicant 1 ("Applicant 1"))	
- Form WB-APP)	
)	
and)	CFTC Whistleblower Award
)	Determination No. 16-WB-11
)	
Whistleblower Award Applications of	Applicant 2)	
Applicant 2 ("Applicant 2"))	
- Form WB-APP)	
- Form WB-APP)	
_____)	

ORDER

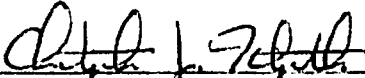
Attached is the Commodity Futures Trading Commission Determination pertaining to the whistleblower award applications of Applicant 1, submitted on Form WB-APP and Applicant 2, submitted on Form WB-APP and Form WB-APP, in connection with Notice of Covered Action No.

Pursuant to the Whistleblower Rules (17 C.F.R. §165), the Whistleblower Award Determination Panel is authorized to make whistleblower award determinations for the Commission. Therefore, as set forth in the attached, it is the determination and Final Order of the Commission that the whistleblower award application of Applicant 1 be denied and the award applications of Applicant 2 be denied. The denial of Applicant 1's and Applicant 2's whistleblower award applications are without prejudice to any other award applications submitted by Applicant 1 and 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 21, 2016



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

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Applicant 1)	
– Form WB-APP)	
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)	Determination No. 16-WB-11
Whistleblower Award Applications of Applicant 2)	
Applicant 2)	
– Form WB-APP)	
– Form WB-APP)	

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 (“Applicant 1”), submitted on Form WB-APP, and Applicant 2 (“Applicant 2”), submitted on Form WB-APP and Form WB-APP, referenced above. All three applications were submitted in connection to Notice of Covered Action No. For the reasons set forth below, Applicant 1’s application and Applicant 2’s applications are all denied.

IT IS HEREBY DETERMINED that:

1. Applicant 1’s award application is denied because it fails to meet the requirements of Section 23 of the Commodity Exchange Act (“CEA”) (7 U.S.C. § 26) and/or the Whistleblower Rules (17 C.F.R. § 165). Applicant 1 did not provide the Commission with original information that lead to a successful enforcement action or a successful related action. See 17 C.F.R. § 165.5(a)(2) - (3). In addition, Applicant 1 failed to file a

Form TCR, as required by 165.2(p) and 165.3 of the Whistleblower Rules. 17 C.F.R. §§ 165.2(p), 165.3. The denial of Applicant 1's whistleblower award application is without prejudice to any other award application submitted by Applicant 1, including applications submitted in the future, regarding other covered judicial or administrative actions or related actions.

2. As detailed in the Declaration of CI*TC Division of Enforcement ("DOE")

- a. The DOE opened the investigation in part due to a referral from the
- b. The Commission had already begun investigating before the DOE contacted Applicant 1.
- c. The information Applicant 1 provided the Commission, as well as the information Applicant 1 provided other authorities that was later obtained by the Commission, did not significantly contribute to the success of the Commission action

Applicant 1's information only confirmed what the Commission already knew about fraudulent activities.

. In addition, Applicant 1's information did not cause the Commission to open an examination or investigation, reopen a closed investigation, or inquire concerning different conduct as part of an existing investigation.

3. As detailed in the **Declaration of CFTC DOE Whistleblower Office**, Applicant 1 did not cause the **to open the investigation into fraudulent activities.**
4. Applicant 2's award applications are denied because they fail to meet the requirements of Section 23 of the Commodity Exchange Act ("CEA") (7 U.S.C. § 26) and/or the Whistleblower Rules (17 C.F.R. § 165). Applicant 2 did not provide the Commission with original information that lead to a successful enforcement action or a successful related action. *See* 17 C.F.R. § 165.5(a)(2) - (3). In addition, Applicant 2 failed to file a Form TCR, as required by 165.2(p) and 165.3 of the Whistleblower Rules 17 C.F.R. §§ 165.2(p), 165.3. The denial of Applicant 2's whistleblower award applications 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.
5. As detailed in the **Declaration of CFTC Division of Enforcement ("DOE")**
 - a. The DOE opened the investigation in part due to a referral from the
 - b. The DOE had begun its investigation prior to contacting Applicant 2.
 - c. The information Applicant 2 provided the Commission, as well as the information that Applicant 2 provided other authorities that was later obtained by the Commission, did not significantly contribute to the success of the Commission

action in . Applicant 2's information only confirmed what the Commission already knew about fraudulent activities.

In addition, Applicant 2's information did not cause the Commission to open an examination or investigation, reopen a closed investigation, or inquire concerning different conduct as part of an existing investigation.

6. As detailed in the Declaration of CFTC DOI: Whistleblower Office, Applicant 2 did not cause the to open the investigation into fraudulent activities.

7. Accordingly, it is hereby DETERMINED that the award applications of Applicant 1 and Applicant 2 are denied.

Dated: September 21, 2016

**Whistleblower Award Determination Panel
Commodity Futures Trading Commission
1155 21st Street, N.W.
Washington, DC 20581**