

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON APRIL 6, 2020 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 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 it does not relate to a Notice of Covered Action. Pursuant to 17 C.F.R. § 165.7(e)(1) (2019), on January 7, 2020, 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 responded to the Whistleblower Office’s written notification of the deficiency by submitting email on or about January 11, 2020 and U.S. Mail on or about January 29, 2020. After further review of the Claimant’s submissions, 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 January 7, 2020 letter.

Pursuant to § 165.7(e)(2), on March 4, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and the Claimant’s 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 deficiency. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on March 4, 2020, 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 responded to the Whistleblower Office’s written notification of the deficiency by submitting numerous emails and additional documents on or about January 9, 13, 23, and 24, 2020. After further review of the Claimant’s submissions, 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 January 7, 2020 letter.

Pursuant to § 165.7(e)(2), on March 4, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s 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 responded to the Whistleblower Office’s written notification of the deficiency by submitting an email on or about January 16, 2020. After further review of the Claimant’s submission, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct the deficiency identified in the Whistleblower Office’s January 7, 2020 letter.

Pursuant to § 165.7(e)(2), on March 4, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s 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 responded to the Whistleblower Office’s written notification of the deficiency by submitting an email on or about January 19, 2020. After further review of Claimant’s submission, 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 January 7, 2020 letter.

Pursuant to § 165.7(e)(2), on March 4, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s 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 responded to the Whistleblower Office’s written notification of the deficiency by calling telephonically and submitting numerous emails on or about January 9 and 10, 2020. After further review of the Claimant’s submissions, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct the deficiency identified in the Whistleblower Office’s January 7, 2020 letter.

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PROPOSED FINAL DISPOSITION OF THE WHISTLEBLOWER OFFICE

The Commodity Futures Trading Commission (the “Commission”) received the above-referenced 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 it does not relate to a Notice of Covered Action. Pursuant to 17 C.F.R. § 165.7(e)(1) (2019), on January 7, 2020, 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 responded to the Whistleblower Office’s written notification of the deficiency by submitting numerous emails and additional documents on or about January 9, 13, 23, and 24, 2020. After further review of Claimant’s submissions, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct the deficiency identified in the Whistleblower Office’s January 7, 2020 letter.

Pursuant to § 165.7(e)(2), on March 4, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s 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.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON APRIL 6, 2020 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 responded to the Whistleblower Office’s written notification of the deficiency by submitting an email on or about January 16, 2020. After further review of the Claimant’s submissions, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct the deficiency identified in the Whistleblower Office’s January 7, 2020 letter.

Pursuant to § 165.7(e)(2), on March 4, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s 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 responded to the Whistleblower Office’s written notification of the deficiency by submitting an email on or about January 8, 2020. After further review of the Claimant’s submissions, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct the deficiency identified in the Whistleblower Office’s January 7, 2020 letter.

Pursuant to § 165.7(e)(2), on March 4, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s 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 deficiency. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on March 4, 2020, 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 responded to the Whistleblower Office’s written notification of the deficiency by submitting emails on or about January 21, 2020. After further review of Claimant’s submissions, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct the deficiency identified in the Whistleblower Office’s January 7, 2020 letter.

Pursuant to § 165.7(e)(2), on March 4, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s 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 deficiency. Accordingly, Claimant’s award claim is hereby denied.

Pursuant to § 165.7(e)(2), on March 4, 2020, 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 responded to the Whistleblower Office’s written notification of the deficiency by calling telephonically and submitting an email on or about January 9, 2020. After further review of the Claimant’s submissions, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct the deficiency identified in the Whistleblower Office’s January 7, 2020 letter.

Pursuant to § 165.7(e)(2), on March 4, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s 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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The Commodity Futures Trading Commission (the “Commission”) received the above-referenced 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 it does not relate to a Notice of Covered Action. Pursuant to 17 C.F.R. § 165.7(e)(1) (2019), on January 7, 2020, 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 March 4, 2020, 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 responded to the Whistleblower Office’s written notification of the deficiency by submitting additional documents on or about January 10, 2020. After further review of the Claimant’s submissions, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct the deficiency identified in the Whistleblower Office’s January 7, 2020 letter.

Pursuant to § 165.7(e)(2), on March 4, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s 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 responded to the Whistleblower Office’s written notification of the deficiency by submitting email and facsimile on or about February 7, 2020. After further review of the Claimant’s submissions, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct the deficiency identified in the Whistleblower Office’s January 7, 2020 letter.

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Claimant responded to the Whistleblower Office’s written notification of the deficiency by submitting a facsimile on or about February 7, 2020. After further review of the Claimant’s submission, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct the deficiency identified in the Whistleblower Office’s January 7, 2020 letter.

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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 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 it does not relate to a Notice of Covered Action. Pursuant to 17 C.F.R. § 165.7(e)(1) (2019), on January 7, 2020, 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 March 4, 2020, 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.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON APRIL 6, 2020 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 responded to the Whistleblower Office’s written notification of the deficiency by submitting an email on or about January 9, 2020. After further review of the Claimant’s submissions, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct the deficiency identified in the Whistleblower Office’s January 7, 2020 letter.

Pursuant to § 165.7(e)(2), on March 4, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s 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.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON APRIL 6, 2020 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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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 March 4, 2020, 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.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON APRIL 6, 2020 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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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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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 responded to the Whistleblower Office’s written notification of the deficiency by submitting an email on or about January 8, 2020. After further review of the Claimant’s submission, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct the deficiency identified in the Whistleblower Office’s January 7, 2020 letter.

Pursuant to § 165.7(e)(2), on March 4, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and 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.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON APRIL 6, 2020 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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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 March 4, 2020, 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 responded to the Whistleblower Office’s written notification of the deficiency by calling telephonically and submitting an email on or about January 9, 2020. After further review of the Claimant’s submissions, the Whistleblower Office has confirmed that Claimant’s award application does not relate to a Notice of Covered Action. Claimant failed to correct the deficiency identified in the Whistleblower Office’s January 7, 2020 letter.

Pursuant to § 165.7(e)(2), on March 4, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition. Based on Claimant’s award application and Claimant’s 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.

FINAL ORDER – THIS PROPOSED FINAL DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON APRIL 6, 2020 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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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 March 4, 2020, 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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Notice of Covered Action No. 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 Redacted 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 a previously filed Form TCR.¹ Pursuant to 17 C.F.R. § 165.7(e)(1) (2019), on January 7, 2020 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 deficiencies.

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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 March 4, 2020, the Whistleblower Office notified the Claims Review Staff of this Proposed Final Disposition to deny Claimant’s award claim. 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.

¹ In further support of this disposition, and prior to sending the January 7, 2020 notification letter, the Whistleblower Office confirmed with Division of Enforcement staff assigned to the enforcement action related to Notice of Covered Action No. Redacted that Claimant did not contribute to that enforcement action.