

UNITED STATES OF AMERICA
before the
COMMODITY FUTURES TRADING COMMISSION

_____)		
In the Matter of:)	
)	
Whistleblower Award Applications of Applicant)	CFTC Whistleblower Award
)	Determination No. 16-WB-10
- Form WB-APP)	
- Form WB-APP)	
- Form WB-APP)	
_____)		

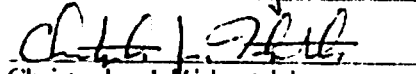
ORDER

Attached is the Commodity Futures Trading Commission Determination pertaining to the whistleblower award applications of Applicant ("Applicant") filed on Form WB-APP
 Form WB-APP and Form WB-APP referenced above.

Pursuant to the Commission's Whistleblower Rules (17 C.F.R. Part 165 (2015)), 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 these whistleblower award applications be denied.

In accordance with 7 U.S.C. § 26(f) (2012) and 17 C.F.R. § 165.13 (2015), 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: August 10, 2016



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

UNITED STATES OF AMERICA
before the
COMMODITY FUTURES TRADING COMMISSION

<hr/>)	
In the Matter of:)	
Whistleblower Award Applications of	Applicant)	CFTC Whistleblower Award
)	Determination No. 16-WB-10
- Form WB-APP)	
- Form WB-APP)	
- Form WB-APP)	
<hr/>			

WHISTLEBLOWER AWARD DETERMINATION

Before the Whistleblower Award Determination Panel of the Commodity Futures Trading Commission ("Commission") is the whistleblower award claims of Applicant ("Applicant") filed on Form WB-APP, Form WB-APP, and Form WB-APP referenced above.

IT IS HEREBY DETERMINED that:

1. The Applicant'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). Although the Applicant voluntarily provided the Commission with original information in the manner required by the Commission, the Applicant did not provide information that lead to a successful enforcement action or a successful related action. See 17 C.F.R. §165.5(a)(3).
 - a. Form WB-APP and Form WB-APP do not identify a notice pertaining to a covered Commission judicial or administrative action.
 - b. Form WB-APP and Form WB-APP do not identify a related action. A related action must be based on the same original information that the whistleblower voluntarily submitted to the Commission and led to a successful resolution of the Commission judicial or administrative action. See 17 C.F.R. § 165.11; 17 C.F.R.

§165.2(m). Because the Applicant's information did not lead to the successful enforcement of a Commission action, it could not have led to a successful related action within the meaning of the CEA and the Whistleblower Rules.

c. Form WB-APP references three Commission Notices of Covered Action that are unrelated on their face to the Applicant's award application. All three Notices of Covered Action were posted on the Commission's Whistleblower Office's website prior to the dates the Applicant filed Form TCR on and Form TCR on . Likewise the orders for each Notice of Covered Action were issued prior to those dates. Additionally, the Applicant filed Form WB-APP after the deadline to submit award applications for all three Notices of Covered Action expired.

d. Form WB-APP does not identify a related action. A related action must be based on the same original information that the whistleblower voluntarily submitted to the Commission and led to a successful resolution of the Commission judicial or administrative action. See 17 C.F.R. § 165.11; 17 C.F.R. §165.2(m). Because the Applicant's information did not lead to the successful enforcement of a Commission action, it could not have led to a successful related action within the meaning of the CEA and the Whistleblower Rules.

2. Accordingly, upon due consideration of the factors listed in section 17 C.F.R. § 165, it is hereby DETERMINED that the Applicant's award applications be denied.

Dated: August 9, 2016

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