PUBLIC VERSION

UNITED STATES OF AMERICA before the COMMODITY FUTURES TRADING COMMISSION

In the Matter of:

Whistleblower Award Application of Applicant

- Form WB-APP

CFTC Whistleblower Award Determination No. 16-WB-12

ORDER

Attached is the Commodity Futures Trading Commission Determination pertaining to the whistleblower award application of ^{Applicant} ("Applicant"), filed on 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 this whistleblower award claim 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: October 11 . 2016

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

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CFTC Whistleblower Award Determination No. 16-WB-12

WHISTLEBLOWER AWARD DETERMINATION

Before the Whistleblower Award Determination Panel of the Commodity Futures Trading Commission ("Commission") is the whistleblower award claim of ^{Applicant} ("Applicant") filed on Form WB-APP

FACTUAL OVERVIEW:

The Commission obtained an order in the against

on

Applicant's first and only submission of information to the Commission occurred on

Applicant argues that provided information to the Commission indirectly through who provided information to the

which in turn provided information to the Commission. Applicant's application indicates that provided information to the after receiving an inquiry from the , which
would make submission of information involuntary. Enforcement staff provided a declaration that stated that Applicant did not significantly contribute to the success of the settlement or final judgment in favor of the Commission.

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IT IS HEREBY DETERMINED that:

Applicant's award application is denied because the Commission obtained successful resolution in the underlying action prior to the applicant's submission of information, and therefore the information provided by Applicant did not cause 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, or lead or contribute to the successful enforcement of the Commission covered judicial or administrative action, 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)).

Further, the application is denied because the Applicant did not provide original information to the Commission as required by section 23(a)(4)(B) of the Commodity Exchange Act (7 U.S.C. § 26(a)(4)(B)) and Rule 165.2(k)(2) of the Commission's Whistleblower Rules (17 C.F.R. § 165.2(k)(2)). Although the applicant claims to be the "original source" of the information that led the Commission to open an investigation in the underlying action, the information provided to the was not provided voluntarily under Rule 165.2(o)(1) of the Commission's Whistleblower Rules (17 C.F.R. § 165.2(o)(1).

The denial of Applicant's whistleblower award application is without prejudice to any other award application submitted by Applicant, including applications submitted in the future, regarding other covered judicial or administrative actions or related actions.

Dated: October 11, 2016

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

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