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Facts about the CFTC Whistleblower Program

This story was written by the CFTC for NFA Members

In January, the Commodity Futures Trading Commission (CFTC) announced the opening of its Whistleblower Office. Created under the Dodd-Frank Act, the CFTC's whistleblower program allows for the payment of monetary awards to eligible whistleblowers, and provides anti-retaliation protections for whistleblowers who share information with or assist the CFTC.

The following are some basic facts about the program:

- The CFTC will pay awards to eligible whistleblowers who voluntarily provide the Commission with original information about violations of the Commodity Exchange Act that lead the Commission to bring an enforcement action that results in more than \$1 million in monetary sanctions.
- The CFTC can also pay whistleblower awards based on monetary sanctions collected by other authorities (including self-regulatory organizations) in actions that are related to a CFTC enforcement action, and are based on information provided by a CFTC whistleblower.
- The total amount of a whistleblower award will be between 10 and 30 percent of the monetary sanctions collected in either the CFTC action or the related action.
- A whistleblower can be any person who provides the CFTC with original information about a violation of the Commodity Exchange Act. Such information can be based on either the person's independent knowledge or independent analysis. Under the CFTC's Whistleblower Rules, however, certain specified persons are ineligible to receive whistleblower awards.
- In order to become a whistleblower, an individual must file a [Form TCR](#) with the CFTC.
- A whistleblower may file anonymously.

You can learn more about the CFTC's whistleblower program by visiting the program's [webpage](#) on www.cftc.gov where you will find forms, program rules, frequently asked questions, filing instructions, and notices of actions for which whistleblowers can file award claims. If you have any questions, you may contact the CFTC's Whistleblower Office by sending an email to whistleblower@cftc.gov.

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