

UNITED STATES OF AMERICA  
before the  
COMMODITY FUTURES TRADING COMMISSION

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	)	
<b>In the Matter of:</b>	)	
	)	<b>CFTC Whistleblower Award</b>
<b>Whistleblower Award Application of</b>	)	<b>Determination No. 16-WB-06</b>
<b>      : (“Applicant”):</b>	)	
	)	
<b>      Form WB-APP</b>	)	
_____	)	
	)	

**ORDER**

Attached is the Final Determination of the Commodity Futures Trading Commission (“Commission”) pertaining to the whistleblower award application of (“Applicant”), submitted on Form WB-APP, in response to the Commission’s Notice of Covered Action No. \_\_\_\_\_ regarding \_\_\_\_\_

Pursuant to the Commission’s Whistleblower Rules (“Rules”), the Commission delegated the authority to make whistleblower award determinations to the Whistleblower Award Determination Panel (“Panel”), 17 C.F.R. § 165.15(b). Therefore, the Panel’s award determination is the final determination of the Commission.

As set forth in the attached, it is the Final Commission Determination and Order of the Commission that the Applicant’s whistleblower award application shall be granted. After giving due consideration of the factors set forth in Rule 165.9, 17 C.F.R. § 165.9, the Panel determined that the award amount should be \_\_\_\_\_ % of the amount of the monetary sanctions collected in \_\_\_\_\_. Accordingly, the Applicant shall receive a whistleblower award in the \_\_\_\_\_

**PUBLIC VERSION**

amount of

In accordance with 7 U.S.C. § 26(f) and 17 C.F.R. § 165.13, if you wish to appeal the Final Commission Determination and Order, you must appeal to the appropriate court of appeals of the United States no more than 30 days after this Final Order of the Commission is issued.

Decision Issued: March 28, 2016



Robert Sidman  
Deputy Secretary of the Commission  
Commodity Futures Trading Commission  
1155 21<sup>st</sup> Street, N.W.  
Washington, DC 20581

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WHISTLEBLOWER AWARD DETERMINATION

Before the Whistleblower Award Determination Panel ("Panel") of the Commodity Futures Trading Commission ("Commission") is the whistleblower award application of ("Applicant"), submitted on Form WB-APP. The Applicant submitted the award application in response to the Commission's Notice of Covered Action No. regarding

For reasons set forth below, the Applicant's application is granted, and the Applicant shall be granted an award of % of the amount of the monetary sanctions collected in , which results in an award of .

**IT IS HEREBY DETERMINED that:**

1. The Applicant's award application is granted because the Applicant meets the requirements of Section 23 of the Commodity Exchange Act, 7 U.S.C. § 26 (2012), and the Commission's Whistleblower Rules ("Rules"), 17 C.F.R. § 165 (2015). The Applicant voluntarily provided the Commission with original information that led to the successful enforcement of a covered action. The Applicant's information was sufficiently

specific, credible, and timely to cause the Commission to open an investigation. The Commission then brought a successful action, , based in part on conduct that was the subject of the Applicant's original information.

2. The Applicant also meets all eligibility requirements for an award. *See* 17 C.F.R. §§ 165.5(b), 165.6. The Applicant submitted a Form TCR, is the original source of the information, and provided assistance to Commission staff during the course of the investigation leading up to . Further, the Applicant does not fall into any of the categories of individuals ineligible for an award, as set forth in Rule 165.6(a), 17 C.F.R. § 165.6(a).

3. The Panel concludes that the award should be % of the amount of the total monetary sanctions collected in . In arriving at this award amount, the Panel applied the factors set forth in Rule 165.9, 17 C.F.R. § 165.9, in relation to the facts and circumstances of the Applicant's award application. To this end, the Panel considered the significance of the Applicant's information, the degree of assistance the Applicant provided to Commission staff during the course of the investigation, and the Commission's programmatic and law enforcement interests.

. Finally, the Panel believes this award appropriately recognizes the significance of the information the Applicant provided to the Commission, and the size of the award should serve to incentivize future whistleblowers to come forth with high quality information while not creating perverse incentives possible as a result of oversize awards.

a. The Applicant's information caused the Commission to commence its investigation,

b. During the investigation, the Applicant was forthcoming and cooperative, and provided assistance and documents upon request.

e. The Applicant did not participate in or have involvement in the violations that support the action. In addition, nothing in the record indicates the Applicant participated in or interfered with internal compliance and reporting systems. The Applicant did not unreasonably delay reporting the information to the Commission.

4. Accordingly, upon due consideration of the factors listed in Rule 165.9, 17 C.F.R. § 165.9, it is hereby DETERMINED that the Applicant shall receive an award of % of the amount of the monetary sanctions collected in .

Dated: March 28, 2016

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