UNITED STATES COMMODITY FUTURES TRADING COMMISSION Washington, D.C.DC 20581

OMB APPROVAL

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FORM WB-APP

APPLICATION FOR AWARD FOR ORIGINAL INFORMATION **SUBMITTED PROVIDED**

PURSUANT TO SECTION 23 OF THE COMMODITY EXCHANGE ACT

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A APPLICANT'S	SINFORMATION (REQI	HRED FOR ALL SU	RMISSION	S)A. TELL US	ABOUT	Formatted	([14]
	uired for All Submissions			3) <u>II, IBBB 65</u>		Formatted	[15]
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1. Attorney's Name:						Formatted	[30]
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2. Firm Name:					11-	Formatted	[32]
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Please be advised that pursuant to 5 **CFRC.F.R. §** 1320.5(b)(2)(i), you are not required to respond to this collection of information unless it displays a currently valid OMB control number.

C. TIP/COMPLAINT DETAILSC. TELL US AB	OUT YOUR TIP OR COMPLAINT	Formatted Table
1. Manner in which 1a. How did you submit original	1b. Date that you submitted the information (mm/dd/yyyy)	Formatted [47]
information was submitted to the CFTC ?		Inserted Cells
CFTC:		
Website Mail Fax Other		Formatted [48]
2a. Did you file a CFTC Form TCR? YES NO		
2a. Tip, Complaint or Referral (2b. Form TCR)	2c. 2b. Date that you filed your Form TCR referred to in 2a	Formatted [49]
Number:	submitted to CFTC: (mm/dd/yyyy)	Formatted [50]
	The Property of the Control of the C	Formatted Table
3. Name2e. Subject(s) of the Tip, Complaint individual(s)	and/or Referral:entity(s) to which your tip or complaint relates	Formatted [51]
D NOTICE OF COVERED ACTION		Formatted: Font: Times New Roman
D. NOTICE OF COVERED ACTION	*	Formatted: Space After: 0 pt, Line spacing: single
1. Date of relevant Notice of Covered Action to Which	2. Notice Number:	Formatted Table
Claim Relates: (mm/dd/yyyy)		Formatted [52]
3a. Case Name	3b. Case Number:	Formatted [53]
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E. CLAIMS PERTAINING TO RELATED ACT	``,	Formatted: Space After: 0 pt, Line spacing: single
1. Name of other agency or organization to which the whistle	ebloweryou provided the whistleblower'syour information;	Formatted Table
		Formatted [56]
2. Name and contact information for point of contact at the age	ncy or organization, if known:	Formatted [57]
		([57]
3a. Pate the whistleblowerthat you provided the	3b. Date of action filed by the agency or organization	Formatted [58]
whistleblower's information (mm/dd/yyyy);)	(mm/dd/yyyy);)	Formatted [59]
A. day Name	Ab. Core Neurobert	Formatted [60]
4a. Case Name:	4b. Case Number:	([00]
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F. ¢LIGIBILITY REQUIREMENTS AND OTHER INFORMATION	Formatted Table	
1. Is the whistleblower Are you currently, or was the whistleblower you at the time the whistleblower that you	Formatted	[(0]
acquired the original information the whistleblowerthat you submitted to the CFTC, a member, officer or employee of the	Torrilatteu	[62]
Department of Justice, the Commodity Futures Trading Commission, the Comptroller of the Currency; the		
CFTC; the Board of Governors of the Federal Reserve System, the ; the Office of the Comptroller of the Currency; the Board of		
Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit		
Union Administration, Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a		
registered futures association; a self-regulatory organization, any; a law enforcement organization; or a foreign regulatory		
authority or law enforcement organization?		
YES NO	Formatted	[63]
2. Did the whistlebloweryou provide the information identified in Section C above pursuant to a cooperation agreement with	Formatted	[64]
the CFTC or another agency or organization?		
3. Did the whistleblower acquire the information the whistleblower provided to the CFTC from any personal control of the contr		
described in questions F1 through F2?	Formatted	[65]
YES - NO-		
4. If the whistleblower answered "yes" to any of questions 1 through 3 above, please provide details: (U	se e	
additional sheets, if necessary)		
5a. Did the whistleblower provide3. Before you provided the information identified in Section C above before the	Formatted Table	
whistleblower, did you (or anyone representing you) received receive any request, inquiry or demand that relates to the subject	Formatted	[66]
matter of the whistleblower's your submission; (i) from the CFTC; (ii) in connection with an investigation, inspection or		[55]
examination by any registered entity, registered futures association or self-regulatory organization; or (iii) in connection with an		
investigation by the Congress, or any other federal or state authority?		
YES NO NO	Formatted	[67]
5b. If the whistleblower answered "yes" to question 5a, please provide details: (Use additional sheets, if		
necessary)		
6a. Is the whistleblower4. Are you currently a subject or target of a criminal investigation, or have the whistlebloweryou	Formatted Table	
been convicted of a criminal violation, in connection with the information identified in Section C above and upon which the		[68]
whistleblower's your application for an award is based?		[69]
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5. Did you acquire the information that you provided to the CF	TC from any person described in Questions 1 through 4 above?		
YES NO NO			
<u> </u>	1 6aany of Questions 1 through 5 above, please provide details;	(\	Formatted: Font: 10 pt
Use additional sheets, if necessary).	Totally of Questions I through 5 above, prease provide details	`_ ~	Formatted: Font: 10 pt
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G. ENTITLEMENT TO AWARD	4		Formatted Table
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Explain the basis for the whistleblower's your belief that the whistleblower is you are entitled to an award in connection with Formatted: Font: 10 pt the whistleblower'syour submission of information to the CFTC, or to another agency or organization in a related action. Formatted: Font: 10 pt Provide any additional information the whistleblower thinks that you think may be relevant in light of the criteria for Formatted: Font: 10 pt determining the amount of an award set forth in Section 23 of the Commodities Commodity, Exchange Act and Part 165 of the Formatted: Font: 10 pt Commission's Regulations thereunder: (CFTC's regulations. Include any supporting documents in the Formatted: Font: 10 pt whistleblower's your possession or control, and use additional sheets, if necessary), Formatted: Font: 10 pt Formatted: Centered H. CLAIMANT'S DECLARATION Formatted: Font: Times New Roman

I declare under penalty of perjury under the laws of the United States that the inform	ntion contained herein is true, corr	ect and	1
complete to the best of my knowledge, information and belief. I fully understand that			
for a whistleblower award if, in my submission of information, my other dealings wi			
Commission, or my dealings with another agency or organization in connection with make any false, fictitious or fraudulent statements or representations, or use any false			
or document contains any false, fictitious or fraudulent statements or representations, or use any false or document contains any false, fictitious or fraudulent statement or entry.	writing or document knowing that	it the writing	
or document contains any raise, rectious or traduction statement of entry.			
Print Name			
			4
H. DECLARATION			
I declare under penalty of perjury under the laws of the United States	that the information		
contained herein is true, correct and complete to the best of my know	ledge, information and		
belief. I fully understand that I may be subject to prosecution and ine			
award if, in my submission of information, my other dealings with the			
with another authority in connection with a related action, I knowing			
false, fictitious, or fraudulent statements or representations, or use an			
document knowing that the writing or document contains any false, t	ictitious, or fraudulent		
statement or entry.			
Print Name			
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I. COUNSEL CERTIFICATION		4	Formatted Table
I. COUNSEL CERTIFICATION I cert fy that I have reviewed this form for completeness and accuracy and that the in	formation contained herein is true	, correct and	Formatted Table Formatted: Space After: 0 pt, Line spacing:
I. COUNSEL CERTIFICATION I certify that I have reviewed this form for completeness and accuracy and that the in complete to the best of my knowledge, information and belief. I further certify that I	formation contained herein is true have verified the identity of the w	, correct and histleblower	Formatted Table Formatted: Space After: 0 pt, Line spacing:
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Privacy Act Statement

This notice is given under the Privacy Act of 1974. The Privacy Act requires that the Commodity Futures Trading Commission (CFTC-or Commission) inform individuals of the following when asking for information. The solicitation of this information is authorized under the Commodity Exchange Act, 7 USCU.S.C. § 1 et seq., The information provided will enable the **Commission**CFTC to determine the **whistleblower's** whistleblower award claimant's eligibility for payment of an award pursuant to Section 23 of the Commodity Exchange Act- and Part 165 of the CFTC's regulations. This information will be used to investigate and prosecute violations of the Commodity Exchange Act and Commissionthe CFTC's regulations. This information may be disclosed to Federal federal, state, local or foreign agencies or other authorities responsible for investigating, prosecuting, enforcing or implementing laws, rules or regulations implicated by the information consistent with the confidentiality requirements set forth in Section 23 of the Commodity Exchange Act and Part 165 of the Commission's Regulations thereunder CFTC's regulations. The information will be maintained and additional disclosures may be made in accordance with System of Records Notices CFTC-49, "Whistleblower Records" (exempted), CFTC-10, "Investigatory Records" (exempted), and CFTC-16, "Enforcement Case Files." The CommissionCFTC requests the last four digits of athe claimant's Social Security Number for use as an individual identifier to administer and manage the whistleblower award program. Executive Order 9397 (November 22, 1943) allows Federal agencies to use the Social Security Number as an individual identifier. Furnishing the information is voluntary. However, if an individual is providing information for the whistleblower award program, not providing required information may result in the whistleblowerindividual not being eligible for award consideration.

Questions concerning this form may be directed to the Commodity Futures Trading Commission, Attention:

TCRWhistleblower Office, Three Lafayette Centre, 1155 21st Street, N.W., NW, Washington, DC 20581.

General _____

Submission Procedures

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•	This form should <u>must</u> be used by persons making a claim for a whistleblower award in connection with
	information provided to the CFTC, or to another agency or organization in a related action. In order to be
	deemed eligible for an award, the whistlebloweryou must meet all the requirements set forth in Section
	23 of the CommoditiesCommodity Exchange Act and the rules thereunderPart 165 of the CFTC's
	regulations

The whistleblower-You must sign the Form WB-APP as the claimant. If If you wish to submit the whistleblower provided the whistleblower's information to the CFTCForm WB-APP anonymously, the whistlebloweryou must now disclosed so through an attorney, your attorney must sign the Counsel Certification Section of the Form WB-APP that is submitted to the CFTC, and you must give your attorney your original signed Form WB-APP so that it can be produced to the whistleblower's identity on this form and CFTC upon request.

During the whistleblower'swhistleblower award claim process, your identity must be verified in a form
and manner that is acceptable to the CFTC prior to the payment of any award.

o If the whistleblower isyou are filing the whistleblower's your claim in connection with information that the whistlebloweryou provided to the CFTC, then the whistleblower's your Form WB-APP, and any attachments thereto, must be received by the CFTC within ninety (90) days of the date of the Notice of Covered Action, or the date of a final judgment in a related action to which the claim relates.

o If the whistleblower isyou are filing the whistleblower'syour claim in connection with information the whistleblowerthat you provided to another agency or organization in a related action, then the whistleblower's your Form WB-APP, and any attachments there to thereto, must be received by the Commodity Futures Trading CommissionCFTC as follows:

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If a final order imposing monetary sanctions has been entered in a related action at the		
time the whistleblower submits the whistleblower's that you submit your claim		Formatted: Font: 10 pt
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for an award in connection with a Commission CFTC action, the whistlebloweryou	-<[[Formatted: Font: 10 pt
must submit the whistleblower's your claim for an award in that related action on the		Formatted: Font: 10 pt Formatted: Font: 10 pt
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same Form WB-APP that the whistleblower usesyou use for the	. – – - '	Formatted: Font: 10 pt
CommissionCFTC action.		Formatted: Font: 10 pt
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If a final order imposing monetary sanctions in a related action has not been entered at		Formatted: Font: 10 pt
the time the whistleblower submits the whistleblower's that you submit your		Formatted: Font: 10 pt
claim for an award in connection with a CommissionCFTC action, the		Formatted: Font: 10 pt
whistlebloweryou must submit the whistleblower's your claim on Form WB-APP		Formatted: Font: 10 pt
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within ninety (90) days of the issuance of a final order imposing sanctions in the related		
action.		Formatted: Font: 10 pt
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• The whistleblower must To submit the whistleblower's your Form WB-APP, you must print it and	1/	Formatted: Font: 10 pt
either submit it by mail to us in one of the following two ways:		Formatted: Font: 10 pt, Condensed by 0.25
O By mailing or delivering the signed form to the Commodity Futures Trading		Formatted: Font: 10 pt, Not Expanded by / Condensed by
Commission, Attention: TCRWhistleblower Office, Three Lafayette Centre, 1155 21st Street,		Formatted: Font: 10 pt, Not Expanded by / Condensed by
NW Weshington DC 20501: on		Formatted: Font: 10 pt
NW, Washington, DC 20581; or		Formatted: Font: 10 pt
⊕ By faxing the signed form by facsimile to (202) 418-5975.		Formatted: Space After: 12 pt, Add space between paragraphs of the same style
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Instructions for Completing Form WB-APP		Formatted: Font: 10 pt, Not Bold, No underline
<u>General</u>		Formatted: Font: 10 pt
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All references to "you" and "your" are intended to mean the whistleblower award claimant.	,	Formatted: Font: 10 pt
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Section A: Applicant's Information Tell Us about Yourself	J' ,	Formatted: Centered
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Questions 1-3: Provide Please provide the following information about yourself:	•	Formatted: Font: 10 pt
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 First and last name, and first name, middle initial, and social security number and the last 		Formatted: Font: 10 pt
From Higher of commencer and Committee Named and		Formatted: Font: 10 pt
four digits of your Social Security Number:		Formatted: Font: 10 pt
Complete address, including city, state and zip code;	'	Formatted: Font: 10 pt
Telephone telephone number and, if available, an alternate number where the whistleblower		Formatted: Font: 10 pt
you çan be reached; and		Formatted: Font: 10 pt
• E mail address.		
 your e-mail address (to facilitate communications, we strongly encourage you to provide an email address, especially if you are making your claim anonymously). 		
Section B: Your Attorney's Information. If the whistleblower is represented by an attorney in	-<	Formatted: Font: 10 pt
	~~.	Formatted: Font: 10 pt
Complete this matter, provide the information requested. If the whistleblower is not section		Formatted: Indent: First line: 0.5"
only if you are represented by an attorney in this matter, leave this Section blank.		Formatted: Font: 10 pt
only if you are represented by an attorney in this matter, seave this section orank.	· · · ·	Formatted: Font: 10 pt
Questions 1-4: —Provide the following information about the your attorney representing the whistleblower		Formatted: Font: 10 pt
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in this matter:	111	Formatted: Font: 10 pt
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 Attorney's name; 		Formatted: Font: 10 pt
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• Firmattorney's name;		Formatted: Font: 10 pt
• Complete firm name;		
<u>complete</u> address, including city, state and zip code;	'	Formatted: Font: 10 pt
Telephone telephone number and fax number; and		Formatted: Font: 10 pt
• Ee-mail address.		Formatted: Font: 10 pt
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Section C: <u>Tell Us about Your Tip</u> or Complaint Details	4	Formatted: Font: 10 pt
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Question 1: 1a:	Indicate the manner in which the whistleblower's you submitted your original information to		Formatted: Font: 10 pt
	the CFTC.		
Question 1b:	Provide the date on which you submitted your original information was submitted to the CFTC.		Formatted: Font: 10 pt
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Question 2a:—	Include the State whether you filed a CFTC Form TCR (Tip, Complaint or Referral)		Formatted: Font: 10 pt, Not Expanded by / Condensed by
	number to which this claim relates.	10	Formatted: Font: 10 pt
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Question 2b:	Provide If you filed a CFTC Form TCR, provide the date on which the		Formatted: Font: 10 pt
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	whistleblower submitted the whistleblower's information to the CFTC. Form's	× ,	Formatted: Font: 10 pt
	number.		Formatted: Font: 10 pt
Question 2c:	If you filed a CFTC Form TCR, provide the date on which you filed the Form.		
Question 3:	Provide the name(s) of the individual(s) and/or entity(s) to which the whistleblower's your tip,		Formatted: Font: 10 pt
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	or complaint, or referral related relates.		Formatted: Font: 10 pt
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Section D: Nou	ce of Covered Action	-,	Formatted: Font: 10 pt
	The process for making a claim for a whistleblower award for a CFTC action begins with the		Formatted: Font: 10 pt
11' '' C '	ALC: Co.C. 14.C. " d. Commission's CUTTO! Lie Th' N.C. 1111.1		Formatted: Indent: First line: 0.5"
publication of a	'Notice of a Covered Action" on the Commission's CFTC's website. This Notice is published		Formatted: Font: 10 pt
whenever a judic	ial or administrative action brought by the CommissionCFTC results in the imposition of		Formatted: Font: 10 pt
whenever a judic	na or administrative action brought by the Commission of Texas in the imposition of	(11)	Formatted: Font: 10 pt
monetary sanctio	ons exceeding \$1,000,000. The Notice is published on the Commission's CFTC's website	10	Formatted: Font: 10 pt
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subsequ	ent to the entry of a final judgment or order in the action that by itself, or collectively with other	111	Formatted: Font: 10 pt
judaments or ord	ers previously entered in the action, exceeds the \$1,000,000 threshold required for a whistleblower		Formatted: Font: 10 pt
Judgments of ord	ers previously effected in the action, exceeds the \$1,000,000 threshold required for a winshedlower		Formatted: Font: 10 pt
to be potentially	eligible for an award. The CommissionCFTC will not contact whistleblower claimants directly	``	Formatted: Font: 10 pt
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as to Notices of C	Covered Actions; prospective claimants should monitor the CommissionCFTC website for such	``	Formatted: Font: 10 pt
Notices.			Formatted: Font: 10 pt
O	Describe the data of the Nation of Comment Antion to which this allies where	1	Formatted: Font: 10 pt
Question 1:-	Provide the date of the Notice of Covered Action to which this claim relates.	,	Formatted: Font: 10 pt
Question 2:	Provide the notice number of the Notice of Covered Action.	1/	Formatted: Font: 10 pt
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Question 3a:	Provide the case name referenced in the Notice of Covered Action.	(2.1 	Formatted: Centered
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Question 3b: Provide the case number referenced	in the Notice of Covered Action.	Formatted: Font: 10 pt
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Section E: Claims Pertaining to Related Actions		Formattadi Fonti 10 pt
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Question 1:- Provide the name of the agency or o	rganization to which the whistlebloweryou provided the	Formatted: Font: 10 pt
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whistleblower's your information		Formatted: Font: 10 pt
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Question 2:- Provide the name and contact inform	nation for the whistleblower's your point of contact at the	Formatted: Font: 10 pt
agency or organization, if known.		Formatted: Font: 10 pt
agency of organization, if known.		
Question 3a:- Provide the date on which that the	whistlebloweryou provided the whistleblower's your	Formatted: Font: 10 pt
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information to the agency or organiz	ation referenced in question E1Question 1 of this section	Formatted: Font: 10 pt
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Question 3b: Provide the date on which the agenc	y or organization referenced in question E1Question 1 of	<b>Formatted</b> : Font: 10 pt
this section filed the related action th	nat was based upon the information the whistleblowertha	Formatted: Font: 10 pt
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you provided.		Formatted: Font: 10 pt
Question 4a: Provide the case name of the related	action.	Formatted: Font: 10 pt
Question 4b: Provide the case number of the relati	ed action.	Formatted: Font: 10 pt
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Section F: Eligibility Requirements and Other Info	ormation	Formatted: Font: 10 pt
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Question 1: State whether the whistleblower whistleblower that you acquired the submitted to the CFTC, a member, of Commodity Futures Trading CCFTC; the Board of Governors of the Of the Currency; the Board of Direct Director of the Office of Thrift Superiors.	isyou are currently, or waswere at the time the ne original information that the whistlebloweryou officer or employee of the Department of Justice, the Commission, the Comptroller of the Currency; the ne Federal Reserve System, the; the Office of the Comptrol ors of the Federal Deposit Insurance Corporation; the rvision; the National Credit Union Administration; Board;	Formatted: Font: 10 pt

	registered futures association, a self-regulatory organization, any: a law enforcement	=	Formatted: Font: 10 pt
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	organization; or a foreign regulatory authority or law enforcement organization.		Formatted: Font: 10 pt
Question 2:	State whether the whistlebloweryou provided the information that you submitted to the CFTC		Formatted: Font: 10 pt
Question 2.	State whether the winsteen weryon provided the information that you submitted to the CI Te	<	Formatted: Font: 10 pt
	pursuant to a cooperation agreement with the CFTC or with any other agency or organization.		Formatted: Font: 10 pt
	Out that the rehiculable was according to the second state of the		
Question 3:	State whether the whistleblower acquired the you provided this information the	"	Formatted: Font: 10 pt
	whistleblower provided to the CFTC from any individual described in Question 1		
	through 2 of this Section.		
Question 5:	If the whistleblower answered "yes" to questions 1 through 3 of this Section,		
	please provide details.		
Question 5a:	State whether the whistleblower provided the information submitted to the CFTC		
	before the whistlebloweryou (or anyone representing the whistlebloweryou) received any		Formatted: Font: 10 pt
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	request, inquiry or demand that relates to the subject matter of the whistleblower's your		Formatted: Font: 10 pt
	submission; (i) from the CFTC; (ii) in connection with an investigation, inspection or		Formatted: Font: 10 pt
	submission, (1) from the CFTC, (11) in connection with an investigation, inspection of	~	Formatted: Font: 10 pt
	examination by any registered entity, registered futures association or self-regulatory	`	Formatted: Font: 10 pt
	organization; or (iii) in connection with an investigation by the Congress, or any other federal or		Formatted: Font: 10 pt
	state authority.		
Question 5b:	If the whistleblower answered "yes" to questions 5a, please provide details. Use		
	additional sheets if necessary.		
Question 6a:	Estate whether the whistleblower is the you are currently a subject or target of a criminal	<	Formatted: Font: 10 pt
	the state of the s		Formatted: Font: 10 pt
	investigation, or has whether you have been convicted of a criminal violation, in connection with		Formatted: Font: 10 pt
	the information that you submitted to the CFTC and upon which the whistleblower's your	<	Formatted: Font: 10 pt
	application for an award is based.		Formatted: Font: 10 pt
Question 6b:	If the whistleblower answered "yes" to question 6a, please provide details,		
	including the name of the agency or organization that conducted the investigation		Formatted: Centered
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or initiated the action against you, the name and telephone number of the whistleblower's point of contact at the agency or organization, if available, and the investigation/case name and number, if applicable. Use additional sheets, if necessary.

Question 5: State whether you acquired the information that you provided to the CFTC from any individual described in Questions 1 through 4 of this section.

Question 6: If you answered yes to any of Questions 1 through 5 of this section, please provide details.

### Section G: Entitlement to Award

This section is optional. Use this section to explain the basis for the whistleblower's your belief that the whistleblower is you are entitled to an award in connection with the whistleblower's your submission of information to the CommissionCFTC, or to another agency in connection with a related action. Specifically, address how the whistleblower believes the whistleblower why you believe that you voluntarily provided the CommissionCFTC with original information that led to the successful enforcement of a judicial or administrative action filed by the CommissionCFTC or a related action. Refer to Section 165.119 of Part 165 of the Commission's

whistleblower may use additional sheets, if necessary,

Regulations CFTC's regulations for further information concerning the relevant award criteria. The

Section 23(c)(1)(B) of the CEA requires the CommissionCommodity Exchange Act and Section 165.9(a) of Part 165 of the CFTC's regulations require the CFTC to consider the following factors in determining the amount of an award the following factors: (a: (1) the significance of the information

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provided by a whistleblower to the success of the CommissionCFTC action or related action; (b2) the Formatted: Font: 10 pt Formatted: Font: 10 pt degree of assistance provided by the whistleblower and any legal representative of the whistleblower in the CommissionCFTC action or related action; (e3) the programmatic interest of the CommissionCFTC in Formatted: Font: 10 pt Formatted: Font: 10 pt deterring violations of the Commodity Exchange Act (including Regulations regulations under the Act) by Formatted: Font: 10 pt Formatted: Font: 10 pt making awards to whistleblowers who provide information that leads to the successful enforcement of such laws; and (d(4) whether the award otherwise enhances the Commission's CFTC's ability to enforce the Formatted: Font: 10 pt Formatted: Font: 10 pt Commodity Exchange Act, protect customers, and encourage the submission of high quality information Formatted: Font: 10 pt from whistleblowers; and (5) potential adverse incentives from oversize awards. Address these factors in the whistleblower's your response as well. Formatted: Font: 10 pt Section H: Claimant's Declaration Formatted: Font: 10 pt

This section must be signed by the claimant You must sign this Declaration if you are submitting

this claim pursuant to the CFTC whistleblower program and wish to be considered for an award. If you are submitting your claim anonymously, you must do so through an attorney, and you must provide your attorney with your original signed Form WB-APP.

### **Section I: Counsel Certification**

If you are submitting this claim pursuant to the CFTC whistleblower program anonymously, you must do

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so through an attorney, and your attorney must sign the Counsel Certification Section.

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