

**UNITED STATES  
COMMODITY FUTURES TRADING COMMISSION  
Washington, DC 20581**

OMB APPROVAL

OMB Number: 3038-0082

**FORM WB-APP  
APPLICATION FOR AWARD FOR ORIGINAL INFORMATION PROVIDED  
PURSUANT TO SECTION 23 OF THE COMMODITY EXCHANGE ACT**

**A. TELL US ABOUT YOURSELF (Required for All Submissions)**

1. Last Name <b>Warren</b>	First Name <b>Tinika</b>	M.I. <b>S</b>	SSN Last Four Digits <b>3,415</b>
2. Street Address <b>7437 Garners Ferry Road</b>			Apartment/Unit # mail signature required
City <b>Columbia</b>	State/Province <b>SC</b>	ZIP/Postal Code <b>29,201</b>	Country <b>USA</b>
3. Telephone <b>Zoom</b>	Alt. Phone Facebook Facetime	E-mail Address <b>wtinika03@gmail.com</b>	

**B. YOUR ATTORNEY'S INFORMATION (If Applicable – See Instructions)**

1. Attorney's Name <b>Pro Se</b>			
2. Firm Name			
3. Street Address			
City	State/Province	Zip/Postal Code	Country
4. Telephone			
Fax		E-mail Address	

**C. TELL US ABOUT YOUR TIP OR COMPLAINT**

1a. How did you submit original information to the CFTC?

Website ☒ Mail ☐ Fax ☐ Other ☒

1b. Date that you submitted the information (mm/dd/yyyy)

01/15/2022

2a. Did you file a CFTC Form TCR? YES ☒ NO ☐

2b. Form TCR Number

2c. Date that you filed your Form TCR (mm/dd/yyyy)

02/15/2022

3. Name(s) of the individual(s) and/or entity(s) to which your tip or complaint relates

Spinning Wrenches Auto Repair , Bull Street, Columbia, SC

**D. NOTICE OF COVERED ACTION**

1. Date of relevant Notice of Covered Action (mm/dd/yyyy)

September 14, 2021

2. Notice Number

1

3a. Case Name

Consumer Protection Division

3b. Case Number

CP-21-11599

**E. CLAIMS PERTAINING TO RELATED ACTIONS**

1. Name of other agency or organization to which you provided your information

Transitions Homeless Shelter, HUD Office Columbia SC, SC Housing, Columbia Housing Authority , Mayor's Office D. Rickermann

2. Name and contact information for point of contact at the agency or organization, if known

Matthew E. Robinson(OSHA),Sheila.McKie@fns.usda.gov ( FOOD STAMP INVESTIGATORS) Flagler,Maurice.A.Handy@hud.gov ,regina.M.Montgomery@hud.gov ,Brownstein.Scott@dol.gov (OSHA Investigator) ,tracey.lee@gdol.ga.gov, Brenda.Brown@gdol.ga.gov

3a. Date that you provided the information (mm/dd/yyyy)

02/15/2022

3b. Date of action by the agency or organization (mm/dd/yyyy)

ongoing

4a. Case Name

Tinika Warren vs. City of Greensboro NC et al others

4b. Case Number

4-3750-20-124 OSHA Letter

## F. ELIGIBILITY REQUIREMENTS AND OTHER INFORMATION

1. Are you currently, or were you at the time that you acquired the original information that you submitted to the CFTC, a member, officer or employee of: the CFTC; the Board of Governors of the Federal Reserve System; 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; a law enforcement organization; or a foreign regulatory authority or law enforcement organization?

YES ☒ NO ☐

2. Did you provide the information identified in Section C above pursuant to a cooperation agreement with the CFTC or another agency or organization?

YES ☒ NO ☐

3. Before you provided the information identified in Section C above, did you (or anyone representing you) receive any request, inquiry or demand that relates to the subject matter of your submission (i) from the CFTC, (ii) in connection with an investigation, inspection or 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 ☐

4. Are you currently a subject or target of a criminal investigation, or have you been convicted of a criminal violation, in connection with the information identified in Section C above and upon which your application for an award is based?

YES ☐ NO ☒

5. Did you acquire the information that you provided to the CFTC from any person described in Questions 1 through 4 above?

YES ☒ NO ☐

6. If you answered "Yes" to any of Questions 1 through 5 above, please provide details. Use additional sheets, if necessary.

The retaliation is non-stop under Occupational Safety and Health Act (OSHA Act), Section 11(c)(29 U.S.C. § 660(c) see OSHA Letter, DOJ Right to sue letter from USDA, HUD COLUMBIA, SC office, EEOC, DOJ claim number stating I have a right to sue and to hire a lawyer. I qualify to process this claim as hence I worked on the D. Rickermann campaign, Dekalb Juvenile Court of Appoint Advocates, United Way- Partnership for Community Action of Dekalb County Georgia, FEMA housing Inspector contracted employee/ see background fingerprints from Barthenev in Virginia and fingerprints on file in Atlanta, Georgia Homeland Security Office, Hud investigators, USDA investigators, EEOC investigators and OSHA Investigator Scott Brownstein.(1) No person shall discharge or in any manner discriminate against any employee because such employee has filed any complaint or instituted or caused to be instituted any proceeding under or related to this Act or has testified or is about to testify in any such proceeding or because of the exercise by such employee on behalf of himself or others of any right afforded by this Act(2)retaliated with Devin's dad (included in my Son court order) as a Dekalb County Police Officer Abusing his Power placing me under surveillance and microchipped ( my son was on "probation" NOT ME the Martin and Moore family in Conyers, Georgia and Lithonia Georgia violating the " Womens Domestic Violence Act & Mary's Law, with Gary Eugene Moore Sr., Mary J. Moore (legal Assistant), and Anitra Moore Gates family (CHOA Hospital Employee that followed my sister Nichell to her Corporate Office job as an applicant to stalk me due to a block on her dad to visit the hospital to see my daughter( see previous stalking orders that were enforced in Dekalb County Georgia by the District Attorney, Destiny Moore (Gary Moore granddaughter hospital employee), these people contributed to the "BOGUS" medical diagnosis to try to "prevent me from testifying against them in court by means of intimidating a witness. See case at The Atlanta Federal District Court of Atlanta, Tinka Warren vs Gary E. Moore that contains the restraining order court documents and Georgia Power bill, as Gary E. Moore and I lived in "MY HOME", that I had purchased while working at Aaron Rents, Inc., where my employer provided documents needed to close on MY HOME with a raise and promotion in my " offer letter" as a Corporate Administrator and now these people are having me labeled as a " prostitute " by we actually lived together as a couple where my 2 kid's were present as witnesses, and they are now holding hostage so they can " NOT " testify in court and forcing my daughter to close her social media Facebook page and telling her not to call me. My children had not been out my presence since birth until these people had them to lie and retaliate on me and their "school records", dental records, medical records 504 Plans will show I was the court ordered " Parent" to both of my children. Anitra and my sister co- worker are plotting to kill her and take her asset of "HOME". Shari Hurston had her to put her down on as the person to receive her assets if she, my sister, Nichell C. Warren shall die, in which I connect b/c my sister is acting incompetent as I ;strated in her testimony of saying she raised my daughter after my kid's were banned by me not to go to her Homefrom 2007-2017-ongoing, a block at Childrens Hospital was on my mother, Nichell andn Gary R. Scales, and Gary E. Mooer. So they made up a bogus reported all together mentally ill to exploit my daughter and kidnap her under Conspiracy Against Rights Under The Color of Law, Healthcare Professionals and Law Enforcement, Larry Steven Dooley, stated he was going to show me how big lady off Panola Road gets everything, which is is my family assets by means of exploitation, attempted murder, stalking, threats, discriminatory harassment and sexual coeren up to including " rape", which needs a new criminal investigator as I am a "HOSTAGE" as long as this "microchip" is placed inside of my body, Peachford Hospital of Atlanta, Ga said that if it do not come out I will get Dementia; which runs in the MOORE FAMILY not my FAMILY all his sisters and mother has dementia (CTE). Illegal sneak peek watching me throughout my apartment w/o cause. Any employee who believes that he has been discharged or otherwise discriminated against by any person in violation of this subsection may, within thirty days after such violation occurs, file a complaint with the Secretary alleging such discrimination. Upon receipt of such complaint, the Secretary shall cause such investigation to be made as he deems appropriate. If upon such investigation, the Secretary determines that the provisions of this subsection have been violated, he shall bring an action in any appropriate United States district court against such person. In any such action the United States district courts shall have jurisdiction, for cause shown to restrain violations of paragraph (1) of this subsection and order all appropriate relief including rehiring or reinstatement of the employee to his former position with back pay.(3) The following said they were going to FORCE me into Transitions and I had to move there by force and Maurice Handy HUD Columbia SC office, Debra F. Simpson for Greensboro Housing Authority employee, Vanessa Harrison for Greensboro Housing Authority employee, Lacie Nicole Littlele, Shapell Fryer Depree, Larry Steven Dooley abuse of power swat officer of Atlanta sexual coercion, and others that are participating finds out my new address and workplace that participates in the retaliation for me exercising my fair housingact rights, Federal nondiscrimination laws provide housing protections for individuals with disabilities. These protections apply in most private housing, state and local government housing, public housing and any other federally-assisted housing programs and activities. The Fair Housing Act prohibits discrimination in housing and housing-related transactions because of disability. Section 504 of the Rehabilitation Act prohibits discrimination on the basis of disability in any program or activity receiving federal financial assistance. Titles II and III of the Americans with Disabilities Act prohibit discrimination on the basis of disability in all programs, services, and activities of public entities and by private entities that own, operate, or lease places of public accommodation. Allowed my stalkers into the home and make me food with witchcraft products in my meals causing me to bleed heavily. This company raised their prices during COVID19 by charging me for a light bill I did not OWE, and did not have an accurate billing statement as required by law, my lease do not give the complex to turn out my lights in Gary Eugene Moore Sr name and also in the Greensboro, NC community where blocks are being put on me not to get a house built or a mobile home for my Nail Salon at 922 Lincoln Street, Greensboro, NC. The prices were gouged to an uptick. Sean Diddy Combs, my stalker from Atlanta Ga when I was an " Licensed Adult Entertainer ", in 2004- 2005. I have asked repeatedly for protections and no protections has been given. see case Tinka S. Warren vs. AT & T telecommunications where I am being held hostage in media without pay or compensation by means of a microchip in real time. This owner stated that some celebrities had came to town and brought up the community land and now they are trying to STEAL my grandfather land located at 922 Lincoln Street, Greensboro, NC 27401. The owner knew who I was when I said the land by Dudley High School at the stop light by Lee Street, now Gato City Blvd. He said people has been all over my land wanting more information to buy it. The land will not sell to UNCG, DUDLEY, nor North Carolina AT&T and Vanessa Harrison, VP of AT&T, moved to the Atlanta division to stalk me and my daughter. My uncle Claudous Williams (dad's Brother), deceased wife brother is the former President of AT & T and he lived off Panola Road, in Lithonia, Georgia. Which is what Larry Steven Dooley, Fulton County, Atlanta, Swat Officer, my ex stated during his sabotage attack on me in my apartment located at 260 Northern Ave, Avondale Estates, Georgia 30002, of summer 2017 that big lady off Panola Road wants to know how I get to get everything and that he would be plucking his "OWN" eyeballs out in the end. Then in September Natalie Harrison crossed state lines to stalk me. I have been violated under the OSHA ACT, 29 USC:660 and hence I have worked on the 2021 Mayor & City Council at Large campaign for the City of Columbia, SC I qualify for this whistleblower compliant as an adverse action under my " RIGHT TO SUE " letters from the following agencies HUD, DOJ, OSHA, and USDA civil rights.Check number 1518 in the amount of \$492.00 along with four other checks, Wells Fargo Bank, N.A. of South Carolina on Main Street has all the checks I cashed as an employee of this governmental elections campaign in which D. Rickermann won. This office I worked at was located at 1325 St. Andrews Rd, Columbia, SC 29210.

## G. ENTITLEMENT TO AWARD

Explain the basis for your belief that you are entitled to an award in connection with your submission of information to the CFTC, or to another agency or organization in a related action. Provide any additional information that you think may be relevant in light of the criteria for determining the amount of an award set forth in Section 23 of the Commodity Exchange Act and Part 165 of the CFTC's regulations. Include any supporting documents in your possession or control, and use additional sheets, if necessary. I am asking for the OSH ACT award from this agency in the amount of \$ 25 million dollars as a separate award from all other entitlements that are under my claims due to retaliation from Spinning Wrenches that is located down the street from Transitions Homeless Shelter and Parking Services.

I was told to complete one against each entity and everyone that participates in sabotaging my home, transportation, life, education and finances. Occupational Safety and Health Act (OSH Act), Section 11(c)

29 U.S.C. §660(c)

29 U.S.C. § 660(c)

(1)

No person shall discharge or in any manner discriminate against any employee because such employee has filed any complaint or instituted or caused to be instituted any proceeding under or related to this Act or has testified or is about to testify in any such proceeding or because of the exercise by such employee on behalf of himself or others of any right afforded by this Act.

(2)

Any employee who believes that he has been discharged or otherwise discriminated against by any person in violation of this subsection may, within thirty days after such violation occurs, file a complaint with the Secretary alleging such discrimination. Upon receipt of such complaint, the Secretary shall cause such investigation to be made as he deems appropriate. If upon such investigation, the Secretary determines that the provisions of this subsection have been violated, he shall bring an action in any appropriate United States district court against such person. In any such action the United States district courts shall have jurisdiction, for cause shown to restrain violations of paragraph (1) of this subsection and order all appropriate relief including rehiring or reinstatement of the employee to his former position with back pay.

(3) SABATOGUE CASE reported to the OSHA, FBI and DOJ ask for HUD Right to SUE Letter, USDA Right to SUE Letter, DOJ email RIGHT to Sue, OSHA whistleblower letter. USDA and HUD Determination letters, and the HUD Compliant letter.

Failed to help me get a section 8 voucher housing search assistance, deposits, application fees, and communicate with Columbia Housing to help me get quickly housed in federal funding programs. or place me in a hotel as an accommodation.

Within 90 days of the receipt of a complaint filed under this subsection the Secretary shall notify the complainant of his determination under paragraph 2 of this subsection.

Failed to call me an ambulance when needed and kicked me out the shelter due to retaliation participation, when Maurice Handy HUD Columbia SC office, Debra F. Simpson for Greensboro Housing Authority employee, Vanessa Harrison for Greensboro Housing Authority employee, Lacie Nicole Littele, Shapell Fryer Depree, Larry Steven Dooley, and others that are participating finds out my new address and workplace that participates in the retaliation for me exercising my fair housing rights. Federal nondiscrimination laws provide housing protections for individuals with disabilities. These protections apply in most private housing, state and local government housing, public housing and any other federally-assisted housing programs and activities. The Fair Housing Act prohibits discrimination in housing and housing-related transactions because of disability. Section 504 of the Rehabilitation Act prohibits discrimination on the basis of disability in any program or activity receiving federal financial assistance. Titles II and III of the Americans with Disabilities Act prohibit discrimination on the basis of disability in all programs, services, and activities of public entities and by private entities that own, operate, or lease places of public accommodation. Allowed my stalkers into the home and make me food with witchcraft products in my meals causing me to bleed heavy. Then Spinning wrenches, \$180 repair shop participated in tearing up my car so that it would not crank after being serviced for a radiator reserve tank. I purchased my car in High Point, NC for cash \$2800, plus taxes, tags, and insurance fees. Two days later the car battery went dead and my in North Carolina mother purchased a new car battery for my vehicle for \$180, I paid her back on my payday. Approximately, two weeks later the start and the alternator were replaced in May 2021; which are still covered under a warranty; AAA has towed my car and jump start my battery and this record with the shop records in North Carolina proves that my car is not inoperable and the wire that "spinning wrenches" took apart had caused the battery to go dead again, I caught the Comet bus to the Auto parts store to get a new battery but the battery has since went dead so I use the work van for a ride to work on my work days and have to rest in my car due to failed accommodations to repair my car and Transitions Homeless Shelter failure to comply with Federal policies, guidelines, procedures, and standards under the Fair Debt Collections Act, Fair Housing Act, OSHA, OSH ACT, 504 accommodations, (3) SABATOGUE CASE reported to the OSHA, FBI and DOJ ask for HUD Right to SUE Letter, USDA Right to SUE Letter, DOJ email RIGHT to Sue, OSHA whistleblower letter. USDA and HUD Determination letters, and the HUD Compliant letter. Discriminatory Harassment, Abuse of Power under (FBI.GOV & Cornell Law), Conspiracy Against Rights Under the Color of Law for failure to accommodate under the Fair Housing Act, Americans with Disabilities Act as a place to "REST" until the other parties involve house me under the OSH ACT, Section 8 program w/ voucher in hand put to use w/o adverse actions or settle my complaints and/or Whistleblower Award Claims, DOJ civil rights division, right to sue under 58404-TKV Civilrights.justice.gov and EEOC claims. I calmly, firmly and nicely asked them to fix what was damaged during my repair service. A tow guy from Alliance threatened to take my asset by marking it "immobilized", when it is actually a working vehicle which would be conspiracy to commit "Grand Auto Theft".

## H. CLAIMANT'S 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 knowledge, information and belief. I fully understand that I may be subject to prosecution and ineligible for a whistleblower award if, in my submission of information, my other dealings with the Commodity Futures Trading Commission, or my dealings with another agency or organization in connection with a related action, I knowingly and willfully make any false, fictitious or fraudulent statements or representations, or use any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry.

Print Name

Tinika Se'Cal Warren

Signature

Tinika Se'Cal Warren

Date

March 7, 2022

## I. COUNSEL CERTIFICATION

I certify that I have reviewed this form for completeness and accuracy and that the information contained herein is true, correct and complete to the best of my knowledge, information and belief. I further certify that I have verified the identity of the whistleblower award claimant on whose behalf this form is being submitted by viewing the claimant's valid, unexpired government issued identification (*e.g.*, driver's license, passport) and will retain an original, signed copy of this form, with Section H signed by the claimant, in my records. I further certify that I have obtained the claimant's non-waivable consent to provide the Commodity Futures Trading Commission with his or her original signed Form WB-APP upon request, and that I consent to be legally obligated to do so within seven (7) calendar days of receiving such a request from the Commodity Futures Trading Commission.

Print Name of Attorney and Law Firm, if Applicable

Pro Se

Signature

Pro Se

Date

### **Privacy Act Statement**

This notice is given under the Privacy Act of 1974. The Privacy Act requires that the Commodity Futures Trading Commission (CFTC) inform individuals of the following when asking for information. The solicitation of this information is authorized under the Commodity Exchange Act, 7 U.S.C. 1 *et seq.* The information provided will enable the CFTC to determine the 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 the CFTC's regulations. This information may be disclosed to 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 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 CFTC requests the last four digits of the 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 individual not being eligible for award consideration.

Questions concerning this form may be directed to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581.

### **Submission Procedures**

- This form *must* 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, you must meet all the requirements set forth in Section 23 of the Commodity Exchange Act and Part 165 of the CFTC's regulations.
- You must sign the Form WB-APP as the claimant. If you wish to submit the Form WB-APP anonymously, you must do 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 CFTC upon request.

- During the whistleblower 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.
  - If you are filing your claim in connection with information that you provided to the CFTC, then 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.
  - If you are filing your claim in connection with information that you provided to another agency or organization in a related action, then your Form WB-APP, and any attachments thereto, must be received by the CFTC as follows:
    - If a final order imposing monetary sanctions has been entered in a related action at the time that you submit your claim for an award in connection with a CFTC action, you may submit your claim for an award in that related action on the same Form WB-APP that you use for the CFTC action.
    - If a final order imposing monetary sanctions in a related action has not been entered at the time that you submit your claim for an award in connection with a CFTC action, you must submit your claim on Form WB-APP within ninety (90) days of the issuance of a final order imposing sanctions in the related action.
    - If a final order imposing monetary sanctions in a related action relates to a judicial or administrative action brought by the Commission under the Commodity Exchange Act that is not a covered judicial or administrative action, and therefore there would not be a Notice of Covered Action, you must submit your claim on Form WB-APP for an award in connection with the related action within ninety (90) calendar days following either (1) the date of issuance of a final order in the related action, if that date is after the date of issuance of the final judgment in the related Commission judicial or administrative action; or (2) the date of issuance of the final judgment in the related Commission judicial or administrative action, i.e., the date the related action becomes a related action,

if the date of issuance of the final order in the related action precedes the final judgment in the related Commission judicial or administrative action.

- To submit your Form WB-APP, you may print it and either submit it by mail to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581, or by facsimile to (202) 418-5975. You also may submit this form electronically, through the web portal found on the CFTC's website at <http://www.cftc.gov>, which is also accessible from the CFTC Whistleblower Program website at [www.whistleblower.gov](http://www.whistleblower.gov).

### **Instructions for Completing Form WB-APP**

#### **General**

All references to "you" and "your" are intended to mean the whistleblower award claimant.

#### **Section A: Tell Us about Yourself**

Questions 1-3: Please provide the following information about yourself:

- last name, first name, middle initial and the last four digits of your Social Security Number;
- complete address, including city, state and zip code;
- telephone number and, if available, an alternate number where you can be reached; and
- 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**

Complete this section only if you are represented by an attorney in this matter.

Questions 1-4: Provide the following information about your attorney:

- attorney's name;
- firm name;
- complete address, including city, state and zip code;
- telephone number and fax number; and
- e-mail address.



**Section C: Tell Us about Your Tip or Complaint**

- Question 1a: Indicate the manner in which you submitted your original information to the CFTC.
- Question 1b: Provide the date on which you submitted your original information to the CFTC.
- Question 2a: State whether you filed a CFTC Form TCR.
- Question 2b: If you filed a CFTC Form TCR, provide the Form's number.
- 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 your tip or complaint relates.

**Section D: Notice of Covered Action**

The process for making a claim for a whistleblower award for a CFTC action begins with the publication of a "Notice of Covered Action" on the CFTC's website. This Notice is published whenever a judicial or administrative action brought by the CFTC results in the imposition of monetary sanctions exceeding \$1,000,000.

The Notice is published on the CFTC's website subsequent to the entry of a final judgment or order in the action that by itself, or collectively with other judgments or orders previously entered in the action, exceeds the \$1,000,000 threshold required for a whistleblower to be potentially eligible for an award. The CFTC will not contact whistleblower claimants directly as to Notices of Covered Actions; prospective claimants should monitor the CFTC website for such Notices.

- Question 1: Provide the date of the Notice of Covered Action to which this claim relates.
- Question 2: Provide the notice number of the Notice of Covered Action.
- Question 3a: Provide the case name referenced in the Notice of Covered Action.
- Question 3b: Provide the case number referenced in the Notice of Covered Action.

**Section E: Claims Pertaining to Related Actions**

- Question 1: Provide the name of the agency or organization to which you provided your information.
- Question 2: Provide the name and contact information for your point of contact at the agency or organization, if known.
- Question 3a: Provide the date on which you provided your information to the agency or organization referenced in Question 1 of this section.
- Question 3b: Provide the date on which the agency or organization referenced in Question 1 of this section filed the related action that was based upon the information that you provided.

Question 4a: Provide the case name of the related action.

Question 4b: Provide the case number of the related action.

**Section F: Eligibility Requirements and Other Information**

Question 1: State whether you are currently, or were at the time that you acquired the original information that you submitted to the CFTC, a member, officer or employee of: the CFTC; the Board of Governors of the Federal Reserve System; 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; a law enforcement organization; or a foreign regulatory authority or law enforcement organization.

Question 2: State whether you provided the information that you submitted to the CFTC pursuant to a cooperation agreement with the CFTC, or with any other agency or organization.

Question 3: State whether you provided this information before you (or anyone representing you) received any request, inquiry or demand that relates to the subject matter of your submission (i) from the CFTC, (ii) in connection with an investigation, inspection or 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.

Question 4: State whether you are currently a subject or target of a criminal investigation, or whether you have been convicted of a criminal violation, in connection with the information that you submitted to the CFTC and upon which your application for an award is based.

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 your belief that you are entitled to an award in connection with your submission of information to the CFTC, or to another agency in connection with a related action. Specifically, address why you believe that you voluntarily provided the CFTC with original information that led to the successful enforcement of a judicial or administrative action filed by the CFTC, or a related action. Refer to § 165.9 of the CFTC's regulations for further information concerning the relevant award criteria.

Section 23(c)(1)(B) of the Commodity Exchange Act and § 165.9(a) of the CFTC's regulations require the CFTC to consider the following factors in determining the amount of an award: (1) the significance of the information provided by a whistleblower to the success of the CFTC action or related action; (2) the degree of assistance provided by the whistleblower and any legal representative of the whistleblower in the CFTC action or related action; (3) the programmatic interest of the CFTC in deterring violations of the Commodity Exchange Act (including regulations under the Act) by making awards to whistleblowers who provide information that leads to the successful enforcement of such laws; (4) whether the award otherwise enhances the CFTC's ability to enforce the Commodity Exchange Act, protect customers, and encourage the submission of high quality information from whistleblowers; and (5) potential adverse incentives from oversize awards. Address these factors in your response as well.

### **Section H: Claimant's Declaration**

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