

**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 #
City <b>Columbia</b>	State/Province <b>SC</b>	ZIP/Postal Code <b>29</b>	Country <b>USA</b>
3. Telephone <b>803-696-0544</b>	Alt. Phone	E-mail Address <b>tinikacareers2022@gmail.com</b>	

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

1. Attorney's Name <b>Pro Se Tinika Se'Cal Warren</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)

12/29/2021

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

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

Hostile employees abusing their power ,mismanagement. Failure to ACCOMODATE UNDER ADA ACT, violated OSH ACT

**D. NOTICE OF COVERED ACTION**

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

07/29/2020

2. Notice Number

1-4

3a. Case Name

Tinika Warren vs. Poltical Services SC et al others

3b. Case Number

4-3750-20-124

**E. CLAIMS PERTAINING TO RELATED ACTIONS**

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

US Department of Labor OSHA

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

South Carolina OSHA, 110 Center Drive, Columbia, SC

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

03/20/2022

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

03/20/2022

4a. Case Name

Poltical Services SC adverse action Waters at Berryhill Apts, Columbia SC

4b. Case Number

4-0520-22-062

## 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.

(1) I have been trained for FEMA Housing Inspections in 2015 or 2016 while residing in North Carolina and my Fingerprints can be found at the Atlanta, Georgia FEMA background checks location, that was scheduled by Barthemew out of the Virginia Headquarters office for background investigation; which also allows me to be a whistleblower under the OSH ACT.

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) SABATOGGE 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 with High Point Housing Authority 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 & At&T Telecommunications former employee, Vanessa Harrison for Greensboro Housing Authority employee., Lacie Nicole Little, 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.

Consumer Protection Division CP-21-11599  
\$200 million dollars, as an adverse action in this claim and failure to accommodate under american disabilities act, Fair Housing Act - Title VIII of the Civil Rights Act of 1968, as Amended - Prohibits discrimination in the sale, rental, financing of dwellings, and other housing-related transactions, based on race, color, national origin, religion, sex (gender), familial status (including children under the age of 18 living with parents or legal custodians, pregnant women and people securing custody of children under the age of 18) and disability. Section 109 of Title I of the Housing & Community Development Act of 1974 - Prohibits discrimination on the basis of race, color, national origin, sex or religion in programs and activities receiving financial assistance from HUD's Community Development Block Grant Program. Section 504 of the Rehabilitation Act of 1973 - Prohibits discrimination based on disability in any program or activity receiving federal financial assistance. Presidential Executive Orders: "Executive Order 11063 - Prohibits discrimination in the sale, leasing, rental, or other disposition of properties and facilities owned or operated by the federal government or provided with federal funds." "Executive Order 12892, as amended - Requires federal agencies to affirmatively further fair housing in their programs and activities, and provides that the Secretary of HUD will be responsible for coordinating the effort. The Order also established the President's Fair Housing Council, chaired by the Secretary of HUD." "Executive Order 13166 - Eliminates, to the extent possible, limited English proficiency or "LEP" as a barrier to full and meaningful participation by beneficiaries in all federally-assisted and federally conducted programs and activities." "Executive Order 13217 - Requires federal agencies to evaluate their policies and programs to determine if any can be revised or modified to improve the availability of community-based living arrangements for persons with disabilities. Fair Housing SC as a Columbia, SC section 8 voucher applicant that applied for a 2 bedroom, complete Rent Tenancy of Approval was done by management then a change of heart after the stalkers called or came by their office and told them not to rent to me as an responsible adult that has a rental history since age 19 and owned my home at 7580 Clear Creek Drive, Lithonia, Georgia 30058 from 2007-2015 that was discharged in chapter 7 bankruptcy, violation to 11 U.S.C. Code § 525 - Protection against discriminatory treatment. (a) Except as provided in the Perishable Agricultural Commodities Act, 1930, the Packers and Stockyards Act, 1921, and section 1 of the Act entitled "An Act making appropriations for the Department of Agriculture for the fiscal year ending June 30, 1944, and for other purposes," approved July 12, 1943, a governmental unit may not deny, revoke, suspend, or refuse to renew a license, permit, charter, franchise, or other similar grant to, condition such a grant to, discriminate with respect to such a grant against, deny employment to, terminate the employment of, or discriminate with respect to employment against, a person that is or has been a debtor under this title or a bankrupt or a debtor under the Bankruptcy Act, or another person with whom such bankrupt or debtor has been associated, solely because such bankrupt or debtor is or has been a debtor under this title or a bankrupt or debtor under the Bankruptcy Act, has been insolvent before the commencement of the case under this title, or during the case but before the debtor is granted or denied a discharge, or has not paid a debt that is dischargeable in the case under this title or ADA ACT und

## 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.

Totaling this claim to \$600million dollars, as an adverse action in this claim and failure to accommodate under american disabilities act, Fair Housing Act -

Title VIII of the Civil Rights Act of 1968, as Amended - Prohibits discrimination in the sale, rental, financing of dwellings, and other housing-related transactions, based on race, color, national origin, religion, sex (gender), familial status (including children under the age of 18 living with parents or legal custodians, pregnant women and people securing custody of children under the age of 18) and disability. Section 109 of Title I of the Housing & Community Development Act of 1974 - Prohibits discrimination on the basis of race, color, national origin, sex or religion in programs and activities receiving financial assistance from HUD's Community Development and Block Grant Program. Section 504 of the Rehabilitation Act of 1973 - Prohibits discrimination based on disability in any program or activity receiving federal financial assistance. Presidential Executive Orders: "Executive Order 11063 - Prohibits discrimination in the sale, leasing, rental, or other disposition of properties and facilities owned or operated by the federal government or provided with federal funds." "Executive Order 12892, as amended - Requires federal agencies to affirmatively further fair housing in their programs and activities, and provides that the Secretary of HUD will be responsible for coordinating the effort. The Order also established the President's Fair Housing Council, chaired by the Secretary of HUD. "Executive Order 13166 - Eliminates, to the extent possible, limited English proficiency or "LEP" as a barrier to full and meaningful participation by beneficiaries in all federally-assisted and federally conducted programs and activities. "Executive Order 13217 - Requires federal agencies to evaluate their policies and programs to determine if any can be revised or modified to improve the availability of community-based living arrangements for persons with disabilities. Fair Housing SC as a Columbia, SC section 8 voucher applicant that applied for a 2 bedroom, complete Rent Tenancy of Approval was done by management then a change of heart after the stalkers called or came by their office and told them not to rent to me as an responsible adult that has a rental history since age 19 and owned my home at 7580 Clear Creek Drive, Lithonia, Georgia 30058 from 2007-2015 that was discharged in chapter 7 bankruptcy, violation to 11 U.S. Code § 525 - Protection against discriminatory treatment. (a) Except as provided in the Perishable Agricultural Commodities Act, 1930, the Packers and Stockyards Act, 1921, and section 1 of the Act entitled "An Act making appropriations for the Department of Agriculture for the fiscal year ending June 30, 1944, and for other purposes," approved July 12, 1943, a governmental unit may not deny, revoke, suspend, or refuse to renew a license, permit, charter, franchise, or other similar grant to, condition such a grant to, discriminate with respect to such a grant against, deny employment to, terminate the employment of, or discriminate with respect to employment against, a person that is or has been a debtor under this title or a bankrupt or a debtor under the Bankruptcy Act, or another person with whom such bankrupt or debtor has been associated, solely because such bankrupt or debtor is or has been a debtor under this title or a bankrupt or debtor under the Bankruptcy Act, has been insolvent before the commencement of the case under this title, or during the case but before the debtor is granted or denied a discharge, or has not paid a debt that is dischargeable in the case under this title or that was discharged under the Bankruptcy Act.

(b) No private employer may terminate the employment of, or discriminate with respect to employment against, an individual who is or has been a debtor under this title, a debtor or bankrupt under the Bankruptcy Act, or an individual associated with such debtor or bankrupt, solely because such debtor or bankrupt—

(1) is or has been a debtor under this title or a debtor or bankrupt under the Bankruptcy Act;

(2) has been insolvent before the commencement of a case under this title or during the case but before the grant or denial of a discharge; or

(3) has not paid a debt that is dischargeable in a case under this title or that was discharged under the Bankruptcy Act.

(c)

(1) A governmental unit that operates a student grant or loan program and a person engaged in a business that includes the making of loans guaranteed or insured under a student loan program may not deny a student grant, loan, loan guarantee, or loan insurance to a person that is or has been a debtor under this title or a bankrupt or debtor under the Bankruptcy Act, or another person with whom the debtor or bankrupt has been associated, because the debtor or bankrupt is or has been a debtor under this title or a bankrupt or debtor under the Bankruptcy Act, has been insolvent before the commencement of a case under this title or during the pendency of the case but before the debtor is granted or denied a discharge, or has not paid a debt that is dischargeable in the case under this title or that was discharged under the Bankruptcy Act.

(2) In this section, "student loan program" means any program operated under title IV of the Higher Education Act of 1965 or a similar program operated under State or local law.

(d) A person may not be denied relief under sections 4022 through 4024 of the CARES Act (15 U.S.C. 9056, 9057, 9058) because the person is or has been a debtor under this title.

(Pub. L. 95 – 598, Nov. 6, 1978, 92 Stat. 2593; Pub. L. 98 – 353, title III, § 309, July 10, 1984, 98 Stat. 354; Pub. L. 103 – 394, title III, § 313, title V, § 501(d)(15), Oct. 22, 1994, 108 Stat. 4140, 4145; Pub. L. 109 – 8, title XII, § 1211, Apr. 20, 2005, 119 Stat. 194; Pub. L. 116 – 260, div. FF, title X, § 1001(c), Dec. 27, 2020, 134 Stat. 3217.)

mismanagement of section 8 monies in federally assisted programs.

Failed to give me a room at the Marriott Hotel when they were going to house 250 people with United Way funds for 2 years. Even with me being number 2 in the line I was left out in the cold to freeze to death and had to sleep in a winter shelter that smelled like urine.

Failed to give me United Way funds to get a hotel room.

Failed to give me food, clothes donations or gas cards.

Failed to give me a safe winter shelter to take showers.

McDonalds failed to pay off employee assistance of college debt please see the attachment.

See my approved unemployment letters that allowed payments from Georgia Dept of Labor.

Failed to let me work based on bogus medical malpractice mental health issues. please pay back the microchip.

Failed to service me in Columbia SC Elmwood Street location near Transitions Homeless Shelter. Made me stand in drive through when I asked for an accommodations the " uneducated manager said an accommodations under ADA AT is a threat and failed to service me leaving me hungry awaiting her to call the police as she said she would do: so I just left and went to type this complaint.

McDonalds has no handwashing available to the homeless population that wants to eat that most has so form of disabilities and it is a " RISK" with customers having to stand in front of customers in the back drive-thru line in their cars where their feet can be ran over making it a unsafe hazard to public safety and health hazards by not following federal guidelines with Aamericans withdisabilities.

Staff laughed at me with the community and placed me inmedia to humiliated me and my kid's because we always have had nice things before being forced into poverty a life of human trafficking body parts and they tried to force me to become a "prostitute". Please read my portfolio I will not stoop that low in my life to sell myself.

Portfolio's:

<https://tinikawarrennails.weebly.com/>

<https://aboutglamintinikasecalwarren.webador.com/>

<https://www.parchment.com/u/auth/login>

<https://www.linkedin.com/in/tinika-se-cal-warren>Bringing this total to \$50 Million dollars for the Dkalb County Housing Authority Act claim as it is separate from all other "whistleblower claims" forms.

Waters at Berryhill apartments complex denied my application by saying I have a criminal record when in fact I have NO CRIMINAL record and I provided such record the office mnager said SO she do not have to comply with these laws abdd standard operating procedures of her employer and the federal government. She is allowing people to live in the units without being on Section 8 vouchers income reporting and told me not to provide all my income information but I did provide my awards claims and check stubs. The complex said I can not get a copy of the reorts that has the denial information on it as required by FTC and fair debt Collections Act. These employees are engaging blocking me due to some of them get section 8 and have people living with them on section 8 that should not be living with them in the home. as I am a whistleblower and they are attacking the whistleblower.

False, restraining order that was KICKED out of Court in Greensboro, North Carolina for "stalking" causing my name to go in a stalking database without resonable cause based on an out of jurisdiction order, and service upon by your department and Takisha Nicole Warren whom violated the Fair

Housing Act under conspiracy against rights under the color of law with Star Lee whom is a chidhood friend of Takisha N. Warren, cousin whom retaliated on the filing of the court orders for the demotion rights of Tinika S Warren and Genesis Aaliyah Williamsmy minor child under ADA ACT of the Fair housing Act.

Totaling this claim to \$600million dollars, please apply to my H&R Block Debit Card, the information that has been provided.

## 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

Signature

Date

## 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

Signature

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.