

Annex A: Existing Federal Whistleblower Reward Programs

Agency	DOJ	SEC	CFTC	FinCEN
Entry into Force	Pilot Program announced on August 1, 2024	Established in 2011; created out of the Dodd-Frank Act	Established in 2014; created out of the Dodd-Frank Act	Established in 2021; created out of the Anti-Money Laundering Act of 2020
Types of Violations	<ul style="list-style-type: none"> - AML, fraud, or other violations by financial institutions - Foreign corruption - Domestic (U.S.) corruption - Health care offenses and patient / health care fraud 	Violations of federal securities laws	Violations of the Commodity Exchange Act	Violations of the Bank Secrecy Act or violations of certain economic sanctions programs
Covered Actions	Civil or criminal forfeitures of more than \$1 million in net proceeds	When SEC enforcement action results in monetary sanctions exceeding \$1 million	When CFTC obtains a final judgement or settlement over \$1 million	When FinCEN or OFAC obtain settlements of over \$1 million
Potential Award Range	Up to 30% of the first \$100 million in net proceeds; up to 5% of net proceeds forfeited between \$100 million and \$500 million	Between 10% and 30% of monetary sanctions collected in SEC's enforcement action or Related Action by another government agency	Between 10% and 30% of monetary sanctions collected in CFTC's enforcement action or Related Action by another government agency	Between 10% and 30% of penalties collected from successful enforcement actions
Activity to Date	None to announced to date	~\$1.9 billion in awards to 397 individual whistleblowers since 2011	~ \$370 million in awards since 2014 arising out of enforcement actions totaling more than \$3.2 billion	Over 270 unique tips received to date