

UNITED STATES OF AMERICA  
Before the  
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934

Release No. 98235 / August 29, 2023

WHISTLEBLOWER AWARD PROCEEDING

File No. 2023-81

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In the Matter of the Claim for Award

in connection with

Redacted

Notice of Covered Action Redacted

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**ORDER DETERMINING WHISTLEBLOWER AWARD CLAIM**

The Claims Review Staff (“CRS”) issued a Preliminary Determination recommending that <sup>Redacted</sup> (“Claimant”) receive a whistleblower award of approximately \$1.5 million, which represents <sup>Redacted</sup> percent ( <sup>\*\*\*</sup> %) of the monetary sanctions collected in the above-referenced Covered Action (the “Covered Action”).

The recommendation of the CRS is adopted. The record demonstrates that Claimant voluntarily provided original information to the Commission, and that this information led to the successful enforcement of the Covered Action.<sup>1</sup>

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<sup>1</sup> See Securities Exchange Act of 1934 (“Exchange Act”) Section 21F(b)(1), 15 U.S.C. § 78u-6(b)(1); Exchange Act Rule 21F-3(a), 17 C.F.R. § 240.21F-3(a). Although Claimant held a compliance role, Claimant is eligible for an award because Claimant satisfies the 120-day exception under Exchange Act Rule 21F-4(b).

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In reaching this determination, the Commission considered that Claimant initially reported his/her concerns internally before providing information to Commission staff that led to the opening of the investigation and to the successful enforcement action. Claimant provided helpful information that saved Commission staff time and resources, including providing ongoing assistance over the course of the investigation, identifying potential witnesses, and assisting with staff with document requests.

Accordingly, it is hereby ORDERED that Claimant shall receive an award of <sup>Redacted</sup> percent ( <sup>\*\*\*</sup> %) of the monetary sanctions collected in the Covered Action.

By the Commission.

Vanessa A. Countryman  
Secretary

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