

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 100068 / May 7, 2024

WHISTLEBLOWER AWARD PROCEEDING
File No. 2024-18

In the Matter of the Claim for an Award

in connection with

Redacted

Notice of Covered Action ^{Redacted}

ORDER DETERMINING WHISTLEBLOWER AWARD CLAIM

The Claims Review Staff (“CRS”) issued a Preliminary Determination recommending that ^{Redacted} (“Claimant”) receive a whistleblower award of ^{***} percent (^{***} %) of the monetary sanctions collected or to be collected in the above-referenced Covered Action (the “Covered Action”). Claimant provided written notice of Claimant’s decision not to contest the Preliminary Determination.¹

The recommendation of the CRS is adopted. The record demonstrates that Claimant voluntarily provided original information to the Commission that led to the successful enforcement of the referenced Covered Action pursuant to Section 21F(b)(1) of the Securities Exchange Act of 1934 (“Exchange Act”) and Rule 21F-3(a) promulgated thereunder, and that Claimant receive an award of ^{***} percent (^{***} %) of the monetary sanctions collected or to be collected in the Covered Action.

Redacted

Redacted

Redacted

¹ The CRS also recommended that Claimant’s claims for a related action award in connection with ^{***} ^{Redacted} (the “Criminal Action”) and ^{Redacted} ^{***} be denied. Claimant did not contest the preliminary denial of the related action award claims, which are deemed final through operation of law.

Redacted
Redacted
Redacted
Redacted
Redacted
Redacted
Redacted
Redacted
Redacted
Redacted
Redacted
Redacted

Redacted

Although Claimant did not provide additional assistance after submission of Claimant's tip, Claimant expeditiously submitted the tip, which included several documents, the information was closely related to the conduct in the Covered Action, the information alerted Commission staff to the conduct, and the staff opened the investigation after learning the information.

Redacted

Accordingly, it is hereby ORDERED that Claimant shall receive an award of *** percent (** %) of the monetary sanctions collected or to be collected in the Covered Action.

By the Commission.

Vanessa A. Countryman
Secretary

Redacted

Redacted

4 The Redacted ordered in the Covered Action was deemed satisfied by Redacted in the Criminal Action.

Redacted

6 Redacted, a *** % award is appropriate based on the Rule 21F-6(a) and (b) factors. See Rule 21F-6(a) and (b), C.F.R. § 240.21F-6(a) and (b). Claimant's information was significant, causing the opening of the Covered Action investigation and closely related to the charges, there are high law enforcement interests, and there are no negative factors.