

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 98985 / November 20, 2023

WHISTLEBLOWER AWARD PROCEEDING
File No. 2024-2

In the Matter of the Claim for an Award

in connection with

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Notice of Covered Action Redacted

ORDER DETERMINING WHISTLEBLOWER AWARD CLAIMS

The Claims Review Staff (“CRS”) issued a Preliminary Determination recommending that ^{Redacted} (“Claimant 1”), ^{Redacted} (“Claimant 2”), ^{Redacted} (“Claimant 3”) and ^{Redacted} (“Claimant 4”) (collectively, “Joint Claimants”) receive a joint whistleblower award of ^{***} percent (^{***} %) of the monetary sanctions collected, or to be collected, in the above-referenced Covered Action (the “Covered Action”), which based on current collections would result in no payment.¹ Joint Claimants did not submit a response contesting the Preliminary Determination.

The recommendation of the CRS is adopted. The record demonstrates that Joint Claimants voluntarily provided original information to the Commission that caused the staff to

¹ We treat the four claimants as joint whistleblowers because they presented themselves as acting jointly when they provided their information to the Commission in their Form TCR. *See* Rule 21F-2(a)(1); 17 C.F.R. § 240.21F-2(a)(1). Proceeding in this way has not impacted the net total award percentage to the Joint Claimants. Unless they, within ten (10) calendar days of the issuance of this Order, make a joint request, in writing, for a different allocation of the award among the four of them, the Office of the Whistleblower is directed to pay each of them individually 25% of their joint award.

open the investigation, and that the Commission’s charges in the successful enforcement action were based, in part, on Joint Claimants’ information.²

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Claimants participated in multiple interviews with Commission staff and provided documents that provided evidence of false and misleading statements made to investors.

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

By the Commission.

J. Matthew DeLesDernier
Deputy Secretary

² 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).

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