

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 99313 / January 11, 2024

WHISTLEBLOWER AWARD PROCEEDING
File No. 2024-8

In the Matter of the Claim for an Award
in connection with
Notice of Covered Action ^{Redacted}

Redacted

ORDER DETERMINING WHISTLEBLOWER AWARD CLAIM

The Claims Review Staff (“CRS”) issued a Preliminary Determination recommending that ^{Redacted} (“Claimant”) receive a whistleblower award of \$1,500,000, or ^{***} percent (^{***} %) 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 that caused the staff to open the investigation, and that the Commission’s findings in the successful enforcement action, were based, in part, on Claimant’s information.¹ Notably, Claimant uncovered and reported the wrongdoing after learning about the Commission’s enforcement action against another entity ^{***} ^{Redacted}, which caused Claimant to look into whether ^{***} ^{Redacted} was committing similar violations.

^{Redacted}
^{Redacted}
^{Redacted}
^{Redacted}

¹ See Exchange Act Rule 21F-4(c)(1), 17 C.F.R. § 240.21F-4(c)(1).

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Redacted Claimant provided significant information and details about the violations and relevant individuals and gave numerous interviews to Commission staff. Redacted

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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

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