

UNITED STATES OF AMERICA

Before the

SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934

Release No. 99669 / March 5, 2024

WHISTLEBLOWER AWARD PROCEEDING

File No. 2024- 9

In the Matter of the Claims for an Award

in connection with

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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”), which based on current collections would result in no payment.¹ Claimant provided written notice of Claimant’s decision not to contest the Preliminary Determination.²

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

¹ The CRS also recommended the denial of the award application of one other claimant who did not contest the Preliminary Determination. Accordingly, the Preliminary Determination with respect to that award claim became the Final Order of the Commission through operation of Exchange Act Rule 21F-10(f), 17 C.F.R. § 240.21F-10(f).

² Claimant did not seek reconsideration of the Preliminary Determination determining that he/she did not apply for a related action award and therefore, the determination was deemed to be the final order of the Commission.

investigation, and that the Commission’s charges in the successful enforcement action were based, in part, on Claimant’s information.³

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Claimant

participated in multiple interviews with Commission staff, testimony, and provided documents which among other things, identified key witnesses and assisted the staff in drafting subpoenas.

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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

³ 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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