

UNITED STATES OF AMERICA  
before the  
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934  
Release No. 92587 / August 6, 2021

WHISTLEBLOWER AWARD PROCEEDING  
File No. 2021-78

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In the Matter of the Claim for an 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 Redacted (“Claimant”) receive a whistleblower award of approximately \$2 million, which represents \*\*\* percent ( \*\* %) of the monetary sanctions collected, or to be collected, in the above-referenced Covered Action (the “Covered Action”).<sup>1</sup>

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 Covered Action.<sup>2</sup>

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<sup>1</sup> The Commission also concludes that, if the monetary sanctions ordered in connection with Redacted Action”) are less than \$1,000,000, that the \*\*\* Action be treated as part of the Covered Action under Rule 21F-4(d)(2) because it arose out of the same nucleus of operative facts as the Covered Action.

<sup>2</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).

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In reaching this determination, the Commission considered that Claimant alerted the Commission to the on-going fraud prompting the opening of an investigation into the alleged conduct, participated in multiple voluntary interviews with Commission staff, and provided documents and additional information that assisted the staff in its investigation, saving Commission staff time and resources.

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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