

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934

Release No. 93440 / October 28, 2021

WHISTLEBLOWER AWARD

PROCEEDING File No. 2022-9

In the Matter of the Claim for 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 approximately \$24,000, which represents *** percent (*** %) of the monetary sanctions collected or to be 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, and that this information led to the successful enforcement of the Covered Action.¹

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¹ See Securities Exchange Act of 1934 (“Exchange Act”) Section 21-F(b)(1), 15 U.S.C. § 78u-6(b)(1); Exchange Act Rule 21F-3(a), 17 C.F.R. § 240.21F-3(a).

Redacted

In reaching this determination, the Commission considered that Claimant provided substantial assistance to an investigation by meeting in person with Commission staff, providing documents, and identifying potential witnesses, which enabled the Commission to bring an emergency action and significantly contributed to the success of the Covered Action.

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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