

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 96119 / October 21, 2022

WHISTLEBLOWER AWARD PROCEEDING
File No. 2023-04

In the Matter of the Claim for an 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 in the amount of ^{***} percent (^{***} %) of the monetary sanctions collected in the above-referenced Covered Action, which yields an award of \$2,700,000.

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.¹

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¹ 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 (1) Claimant provided important, new information, including in the form of documents and analysis, that assisted the Commission’s investigation; (2) Claimant participated in multiple voluntary interviews with Commission staff; and (3) some of the underlying findings in the Covered Action were based on Claimant’s information.

Accordingly, it is hereby ORDERED that Claimant shall receive an award equal to *** percent (** %) of the monetary sanctions collected in the Covered Action.

By the Commission.

Vanessa A. Countryman
Secretary

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