

UNITED STATES OF AMERICA

Before the

SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 106509 / September 28, 2028

WHISTLEBLOWER AWARD PROCEEDING
File No. 2026-41

In the Matter of the Claim for an Award

in connection with

Redacted

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 *** percent (** %) of the monetary sanctions collected in the above-referenced Covered Action (the “Covered Action”), which would result in a payment of over \$4,000,000. Claimant provided written notice of his/her decision not to contest the Preliminary Determination.

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

Redacted

Redacted

Redacted

Redacted

Redacted

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).

Redacted

Redacted

Redacted

Redacted

Redacted

Redacted

Redacted

Claimant's

information caused the staff to open the investigation and the charges in the Covered Action were based, in part, on the conduct alleged by Claimant. Claimant provided additional helpful information and documents during the investigation, including an interview with Enforcement staff, which assisted the staff in focusing its investigation, identifying witnesses, and drafting document requests.

Redacted

Redacted

Redacted

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

By the Commission.



Vanessa A. Countryman

Secretary