

UNITED STATES OF AMERICA

before the

SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934

Release No. 79517 / December 9, 2016

WHISTLEBLOWER AWARD PROCEEDING

File No. 2017-3

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In the Matter of the Claims for Award

in connection with

Redacted

Notice of Covered Action Redacted

and

Redacted

Notice of Covered Action Redacted

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**ORDER DETERMINING WHISTLEBLOWER AWARD CLAIMS**

On October 28, 2016, the Claims Review Staff issued a Preliminary Determination related to Notices of Covered Actions Redacted (the “Covered Actions”).<sup>1</sup> The Preliminary Determination recommended that Redacted Redacted (“Claimant”) receive a whistleblower award because Claimant voluntarily provided original information to the Commission that led to the successful enforcement of the Covered Actions pursuant to Section 21F(b)(1) of the Securities Exchange Act of 1934 (the “Exchange Act”), 15 U.S.C. § 78u-6(b)(1), and Rule 21F-3(a) thereunder, 17 C.F.R. § 240.21F-3(a).

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<sup>1</sup> These Covered Actions were consolidated for purposes of an award determination under Exchange Act Rule 21F-10 because the Claims Review Staff found that they were Redacted Redacted. For this reason, it is appropriate to process the two matters together.

Further, the Claims Review Staff recommended that such award be set in the amount of <sup>Redacted</sup> percent <sup>Redacted</sup> of the monetary sanctions collected or to be collected in the Covered Actions, which will equal an award of more than \$900,000. In arriving at this recommendation, the Claims Review Staff considered the factors set forth in Rule 21F-6, 17 C.F.R. § 240.21F-6, in relation to the facts and circumstances of Claimant's application. On October 31, 2016, Claimant provided written notice to the Commission of Claimant's decision not to contest the Preliminary Determination within the 60-day deadline set out in Rule 21F-10(e) promulgated under the Exchange Act, 17 C.F.R. § 240.21F-10(e).

Upon due consideration under Rules 21F-10(f) and (h), 17 C.F.R. § 240.21F-10(f) and (h), the Preliminary Determination of the Claims Review Staff is adopted. Accordingly, for the reasons set forth in the Preliminary Determination, it is hereby ORDERED that Claimant shall receive an award of <sup>Redacted</sup> percent <sup>Redacted</sup> of the monetary sanctions collected in the Covered Actions, including any monetary sanctions collected after the date of this Order.

By the Commission.

Brent J. Fields  
Secretary