

UNITED STATES OF AMERICA

before the

SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934

Release No. 93286 / October 12, 2021

WHISTLEBLOWER AWARD PROCEEDING

File No. 2022-4

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 almost \$1.3 million, which is equal to ^{***} percent (^{***} %) of the amounts collected in the above-referenced Covered Action (“Covered Action”).

The recommendation of the CRS is adopted. The record demonstrates that Claimant voluntarily provided original information to the Commission and that this original information led to the successful enforcement of the Covered Action.¹

Redacted

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

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In coming to this conclusion, the Commission considered that Claimant provided significant information that prompted the opening of the investigation by the Commission staff, participated in multiple interviews with Commission staff, and continued to provide helpful information over a two year period.

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.

Eduardo A. Aleman
Deputy Secretary

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