

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 93441 / October 28, 2021

WHISTLEBLOWER AWARD PROCEEDING
File No. 2022-10

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 of approximately \$750,000 which represents ^{Redacted} 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 that led to the successful enforcement of the Covered Action.¹

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

In reaching this determination, the Commission considered that Claimant alerted the Commission to the on-going conduct, prompting the opening of the investigation, and thereafter provided substantial, ongoing assistance, including participating in multiple voluntary interviews with Commission staff, identifying key witnesses, providing helpful documents, and explaining complex issues, which saved significant Commission staff time and resources.

Accordingly, it is hereby ORDERED that Claimant shall receive an award of ^{Redacted} percent (** %) of the monetary sanctions collected or to be collected in the Covered Action.

By the Commission.

Vanessa A. Countryman
Secretary

* Redacted