

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 93465 / October 29, 2021

WHISTLEBLOWER AWARD PROCEEDING
File No. 2022-11

In the Matter of the Claim for an Award

in connection with

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ORDER DETERMINING WHISTLEBLOWER AWARD CLAIM

The Claims Review Staff (“CRS”) issued a Preliminary Determination recommending that ^{Redacted} Claimant”) receive a whistleblower award of more than \$2,000,000, equal to ^{***} percent (^{***} %) of collected monetary sanctions in connection with the ^{Redacted}

^{Redacted} (“Related Action”). Claimant previously received a whistleblower award in connection with the SEC Covered Action ^{Redacted}

^{Redacted} ¹ Claimant provided written notice of Claimant’s decision not to contest the Preliminary Determination for the Related Action.

The recommendation of the CRS for the Related Action is adopted. The record demonstrates that Claimant voluntarily provided the same original information to the DOJ and the Commission, and that information led to the successful enforcement of the Related Action.²

¹ The Commission may pay an award based on amounts collected in a related action, which is defined as a “judicial or administrative action that is brought by” one of the enumerated entities, including the Department of Justice (“DOJ”), “and is based on the same original information that the whistleblower voluntarily provided to the Commission and that led the Commission to obtain monetary sanctions totaling more than \$1,000,000.” *See Order Determining Whistleblower Award Claim*, Release No. 82966 (April 5, 2018). The recent amendments to the Whistleblower Rules, which became effective December 7, 2020, deem a ^{Redacted} agreement entered into by the DOJ after July 21, 2010 to be an administrative action that may be a “related action” that is eligible for a whistleblower award. *See* Rule 21F-4(d)(3)(i), 17 C.F.R. §240.21F-4(d)(3)(i); Adopting Release for Whistleblower Rule Amendments, Rel. No. 34-89963 (Sept. 23, 2020) (“Adopting Release”) at 11-20. ^{Redacted}

^{Redacted}

² *See* Rule 21F-3(b); 17 C.F.R. § 240.21F-3(b); Rule 21F-4(d)(3)(i); 17 C.F.R. § 240.21F-4(d)(3)(i).

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Claimant provided information that prompted the opening of the DOJ and SEC investigations, and Claimant provided extensive, ongoing assistance in the investigations.

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

By the Commission.

Eduardo A. Aleman
Deputy Secretary

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