

UNITED STATES OF AMERICA  
Before the  
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934  
Release No. 94021 / January 21, 2022

WHISTLEBLOWER AWARD PROCEEDING  
File No. 2022-31

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In the Matter of the Claim for an Award

in connection with

"Redacted"

Notice of Covered Action "Redacted"

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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 \$1.8 million, which represents "Redacted" percent ("Redacted" %) of the monetary sanctions 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.<sup>1</sup>

"Redacted"

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<sup>1</sup> 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"

In reaching this determination, the Commission considered that: (1) Claimant provided important, new information that prompted Commission staff to open an investigation into the alleged misconduct; (2) Claimant provided substantial, ongoing assistance, including voluntary interviews and additional information and documents; (3) the charges in the Covered Action were directly based on Claimant's information; (4) Claimant quickly reported internally the misconduct in an effort to remedy it; and (5) Claimant suffered hardships as a result of reporting.

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

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"Redacted"

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