

UNITED STATES OF AMERICA  
Before the  
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934  
Release No. 93055 / September 20, 2021

WHISTLEBLOWER AWARD PROCEEDING  
File No. 2021-95

---

In the Matter of the Claim for Award

in connection with

Redacted

Redacted

Notice of Covered Action <sup>Redacted</sup>

---

**ORDER DETERMINING WHISTLEBLOWER AWARD CLAIM**

The Claims Review Staff (“CRS”) issued a Preliminary Determination recommending that <sup>Redacted</sup> (“Claimant”) receive a whistleblower award in the amount of <sup>\*\*\*</sup> percent (<sup>\*\*\*</sup> %) of the monetary sanctions collected, or to be collected, in the above-referenced Covered Action (the “Covered Action”). This will result in an award of more than \$2.5 million to Claimant.<sup>1</sup>

The recommendation of the CRS is adopted. The record demonstrates that Claimant voluntarily provided original information to the Commission, and that this information led to the successful enforcement of the Covered Action.<sup>2</sup>

---

<sup>1</sup> A second claimant (“Claimant 2”) did not contest the Preliminary Determination denying Claimant 2’s claim. Accordingly, the Preliminary Determination with respect to Claimant 2’s award claim became the Final Order of the Commission through operation of Exchange Act Rule 21F-10(f), 17 C.F.R. §240.21F-10(f).

<sup>2</sup> See Securities Exchange Act of 1934 (“Exchange Act”) Section 21-F(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

In reaching this determination, we note that: (1) Claimant's information was significant, as it resulted in Enforcement staff initiating an investigation into misconduct by <sup>Redacted</sup> <sub>Redacted</sub> ("the Company"), and it ultimately led to the Covered Action; (2) Claimant submitted information and documents to Enforcement staff, participated in interviews with Enforcement staff, and helped Enforcement staff identify key individuals and entities involved in the investigation; (3) Claimant's information and assistance helped Enforcement staff focus its investigation into the Company's conduct and helped the Commission conserve significant time and resources; and (4) Claimant raised <sup>\*\*\*</sup> <sub>Redacted</sub> concerns multiple times at the Company in efforts to remedy the relevant misconduct. <sub>Redacted</sub>

Redacted

Redacted

Redacted

Redacted

Redacted

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.

Vanessa A. Countryman  
Secretary