ORDER DETERMINING WHISTLEBLOWER AWARD CLAIMS

The Claims Review Staff (“CRS”) issued a Preliminary Determination in connection with the above-referenced Covered Action (the “Covered Action”) recommending that (“Claimant 1”) and (“Claimant 2”) jointly receive a whistleblower award in the amount of percent (% of the monetary sanctions collected in the Covered Action for a total payout of approximately $1.5 million.

The recommendation of the CRS is adopted. The record demonstrates that Claimants 1 and 2 voluntarily provided original information to the Commission that led to the successful enforcement of the Covered Action.1

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1 See 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).
Claimants 1 and 2 provided substantial ongoing assistance throughout the course of the investigation, providing several interviews and consulting telephonically with staff via counsel on numerous occasions, including before and after witness testimony of key witnesses.

Accordingly, it is ORDERED that Claimants 1 and 2 shall receive a joint award of *** percent (***%) of the monetary sanctions collected or to be collected in the Covered Action.4

By the Commission.

Vanessa A. Countryman
Secretary

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4 Our determination to treat Claimant 1 and Claimant 2 as joint whistleblowers has not impacted the net total award percentage to Claimant 1 and Claimant 2. Unless Claimant 1 and Claimant 2, within ten (10) calendar days of the issuance of this Order, make a joint request, in writing, for a different allocation of the award between the two of them, the Office of the Whistleblower is directed to pay each of them individually 50% of their joint award.