ORDER DETERMINING WHISTLEBLOWER AWARD CLAIMS

The Claims Review Staff (“CRS”) issued a Preliminary Determination recommending that (“Claimant”) receive a whistleblower award of approximately $1.5 million, which represents percent (%) 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, and that this information led to the successful enforcement of the Covered Action.¹

In reaching this determination, the Commission considered that Claimant provided information which prompted Commission staff to commence an examination and then open an investigation into potential securities laws violations and that the charges brought in the Covered Action were based in part upon Claimant’s information. Claimant also assisted the staff during the course of the investigation.

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