

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 94737 / April 18, 2022

WHISTLEBLOWER AWARD PROCEEDING
File No. 2022-49

In the Matter of the Claims for an Award

in connection with

Redacted

Redacted

Notice of Covered Action ^{Redacted}

ORDER DETERMINING WHISTLEBLOWER AWARD CLAIM

The Claims Review Staff (“CRS”) issued a Preliminary Determination recommending that ^{Redacted} (“Claimant”) receive a whistleblower award in the amount of ^{***} percent (^{***} %) of the monetary sanctions collected, or to be collected, in the above-referenced Covered Action. Based on current collections, this would result in an award of approximately \$45,000.

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.¹

Redacted

Redacted

Redacted

Redacted

Redacted

¹ 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

Redacted

Redacted

Redacted

Redacted

Redacted

Redacted

Redacted

Redacted

Redacted

In reaching this determination, the Commission considered that (1) Claimant provided new information that prompted Commission staff to open an investigation into the alleged misconduct; (2) Claimant participated in a voluntary interview with Commission staff; (3) the charges brought by the Commission were based in part on conduct that was the subject of the information provided by Claimant; and (4) Claimant suffered hardships as a result of the underlying misconduct.

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

By the Commission.

Vanessa A. Countryman
Secretary

Redacted

Redacted