

UNITED STATES OF AMERICA  
before the  
SECURITIES AND EXCHANGE COMMISSION  
SECURITIES EXCHANGE ACT OF 1934  
Release No. 98236 / August 29, 2023  
WHISTLEBLOWER AWARD PROCEEDING  
File No. 2023-82

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In the Matter of the Claim for Award

in connection with

Redacted

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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 \$600,000 which represents Redacted percent ( <sup>\*\*\*</sup> %) of the monetary sanctions collected in Redacted

(“Covered Action”).<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 original information led to the successful enforcement of the Covered Action.<sup>2</sup>

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<sup>1</sup> For purposes of making an award, we have determined to treat these Redacted as a single Commission action because they arose out of the same nucleus of operative facts. *See* Securities Exchange Act of 1934 (“Exchange Act”) Rule 21F-4(d)(1), 17 C.F.R. § 240.21F-4(d)(1).

<sup>2</sup> *See* Exchange Act Section 21F(b)(1), 15 U.S.C. § 78u-6(b)(1); Exchange Act Rule 21F-3, 17 C.F.R. § 240.21F-3.

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In reaching this determination, we considered that the Claimant provided substantial, ongoing assistance that included providing key evidence to support the Covered Action; and there was a substantial law enforcement interest in the information provided by Claimant given that it related to a type of violation that is often difficult to identify and assess.

Accordingly, it is hereby ORDERED that Claimant shall receive an award of <sup>Redacted</sup> percent ( <sup>\*\*\*</sup> %) of the monetary sanctions collected or to be collected in the Covered Action.

By the Commission.

Vanessa A. Countryman  
Secretary

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