

UNITED STATES OF AMERICA  
before the  
SECURITIES AND EXCHANGE COMMISSION  
SECURITIES EXCHANGE ACT OF 1934  
Release No. 84270 / September 24, 2018  
WHISTLEBLOWER AWARD PROCEEDING  
File No. 2018-13

---

In the Matter of the Claim for Award

in connection with

Redacted

Notice of Covered Action Redacted

---

**ORDER DETERMINING WHISTLEBLOWER AWARD CLAIM**

The Claims Review Staff (“CRS”) issued a Preliminary Determination recommending that Claimant <sup>Redacted</sup> receive a whistleblower award in the amount of <sup>Redacted</sup> of the monetary sanctions collected, or to be collected, in the Covered Action. This proposed award would yield a likely payout to the Claimant of nearly \$4 million. Claimant subsequently provided written notice of Claimant’s decision not to contest the Preliminary Determination.

The recommendation of the CRS is adopted. The record demonstrates that Claimant, an individual residing in a foreign country, voluntarily provided original information to the Commission that led to the successful enforcement of the Covered Action pursuant to Section 21F(b)(1) of the Securities Exchange Act of 1934 (the “Exchange Act”), 15 U.S.C. § 78u-6(b)(1), and Rule 21F-3(a) thereunder, 17 C.F.R. § 240.21F-3(a).

Moreover, applying the award criteria specified in Rule 21F-6 of the Exchange Act to the specific facts and circumstances here, we find that the proposed award amount is appropriate.<sup>1</sup> In reaching that determination, we positively assessed the facts that the

---

<sup>1</sup> In assessing the appropriate award amount, Rule 21F-6 provides that the Commission consider: (1) the significance of information provided to the Commission; (2) the assistance provided in the Commission action; (3) law enforcement interest in deterring violations by

Commission's investigation that led to the Covered Action opened as a direct result of Claimant's tip to the Commission and that Claimant provided extensive assistance to the Commission staff throughout the course of the investigation. We also positively assessed the following facts: Claimant

Redacted

Redacted

Redacted

Redacted

2

Accordingly, it is hereby ORDERED that Claimant shall receive an award of  
Redacted of the monetary sanctions collected in this Covered Action,  
including any monetary sanctions collected after the date of this Order.

By the Commission.

Brent J. Fields  
Secretary

---

granting awards; (4) participation in internal compliance systems; (5) culpability; (6) unreasonable reporting delay; and (7) interference with internal compliance and reporting systems.

2

Redacted