

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 93013 / September 16, 2021

WHISTLEBLOWER AWARD PROCEEDING
File No. 2021-92

In the Matter of the Claim for an Award

in connection with

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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 of approximately \$1.2 million, equal to ^{***} percent (^{***} %) of collected monetary sanctions 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 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).

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In reaching this determination, we note that the record reflects that Claimant's information prompted the opening of the investigation, and Claimant thereafter provided substantial, continuing assistance that saved Commission time and resources. Claimant communicated with Commission staff multiple times, identified potential witnesses, helped the staff draft targeted information requests, and explained key documents.

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

By the Commission.

Jill M. Peterson
Assistant Secretary

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