

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934

Release No. 91280 / March 9, 2021

WHISTLEBLOWER AWARD PROCEEDING

File No. 2021-33

In the Matter of the Claim for Award

in connection with

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Redacted

Notice of Covered Action Redacted

ORDER DETERMINING WHISTLEBLOWER AWARD CLAIMS

The Claims Review Staff (“CRS”) issued Preliminary Determinations recommending that ^{Redacted} (“Claimant”) receive a whistleblower award of approximately \$1.5 million, equal to ^{Redacted} percent (^{***} %) of the monetary sanctions collected in the above-referenced Covered Action.¹ Claimant provided written notice of Claimant’s decision not to contest the Preliminary Determinations.

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.²

¹ Additionally, the CRS recommended that Claimant’s claim for an award in connection with a ^{Redacted} entered into by ^{Redacted}

^{Redacted} be denied. Because Claimant provided written notice of Claimant’s decision not to contest the preliminary denial, the CRS’s preliminary determination as to the denial of the ^{Redacted} became the final order of the Commission pursuant to Exchange Act Rule 21F-11(f); 17 C.F.R. § 240.21F-11(f).

² 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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Claimant

reported concerns internally to Claimant’s employer. Claimant provided information that caused Enforcement staff to open an investigation, including multiple written submissions detailing Claimant’s tips and identifying potential witnesses to Enforcement staff. Claimant also provided assistance through ongoing discussions with Enforcement staff by meeting multiple times to explain Claimant’s information.

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

By the Commission.

Vanessa A. Countryman
Secretary

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