

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 95292 / July 15, 2022

WHISTLEBLOWER AWARD PROCEEDING
File No. 2022-65

In the Matter of the Claim for an 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 Redacted (“Claimant”) receive a whistleblower award of over \$3 million, which represents Redacted percent (***) of monetary sanctions collected in the above-referenced Covered Action (the “Covered Action”).¹ Claimant 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 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 Exchange Act and Rule 21F-3(a).²

¹ We find that another enforcement action, Redacted Redacted arose out of the same nucleus of operative facts as the Covered Action, and should be treated as part of the Covered Action for award purposes under Exchange Act Rule 21F-4(d)(1).

² 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

The record reflects that Claimant, an insider, raised concerns internally, and thereafter submitted a detailed tip that prompted the opening of the investigation, met with the Enforcement staff multiple times, identified key witnesses and documents, and provided supplemental information during the investigation.

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

By the Commission.

Jill M. Peterson
Assistant Secretary

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