

UNITED STATES OF AMERICA

before the

SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934

Release No. 94946 / May 19, 2022

WHISTLEBLOWER AWARD PROCEEDING

File No. 2022-56

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 Redacted (“Claimant”) receive a whistleblower award of approximately \$16,000, which is equal to *** percent Redacted of the amount collected in the above-referenced Covered Action (“Covered Action”).

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.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, 17 C.F.R. § 240.21F-3. While Claimant did not provide his/her information on Form TCR at the time it was first submitted to the Commission, Claimant satisfies Exchange Act Rule 21F-9(e) because Claimant, who was unrepresented, provided a Form TCR to the Commission within 30 days of learning of the TCR filing requirement.

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In coming to this conclusion, the Commission considered that Claimant helped alert Commission staff to the ongoing fraud and his/her tip was a principal motivating factor in the decision to open the investigation. Claimant also provided continuing assistance by supplying critical documents and participating in at least one subsequent communication with Commission staff that advanced the investigation.

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

By the Commission.



Vanessa A. Countryman
Secretary
