

## SEC WHISTLEBLOWER AWARDS

Recent press releases (excerpts below) issued by the SEC show that over \$450 Million in SEC Whistleblower Awards have been awarded to 82 recipients since the SEC's first Whistleblower award in 2012, with over \$60 Million of those Awards Being Paid in 2020 alone!

### SEC Awards Over \$27 Million to Whistleblower

#### Amounts Awarded to Whistleblowers by SEC Now Exceed \$400 Million

FOR IMMEDIATE RELEASE  
2020-89

Washington D.C., April 16, 2020 —

The Securities and Exchange Commission today announced an award of more than **\$27 million** to a whistleblower who alerted the agency to misconduct occurring, in part, overseas. After providing the tip to the Commission, the whistleblower provided critical investigative leads that advanced the investigation and saved significant Commission resources.

“This award marks several milestones for the program,” said Jane Norberg, Chief of the SEC’s Office of the Whistleblower. “This is the largest whistleblower award announced by the Commission this year, and the sixth largest award overall since the inception of the program. This award also brings the total amount awarded to whistleblowers by the SEC over the \$400 million mark.”

### SEC Awards Almost \$2 Million to Whistleblower

FOR IMMEDIATE RELEASE  
2020-100

Washington D.C., May 4, 2020 —

The Securities and Exchange Commission today announced an award of nearly **\$2 million** to a whistleblower whose information and assistance helped the agency bring a successful enforcement action and allowed investors to recover much of their money.

“The whistleblower’s information and assistance helped the SEC stop an ongoing fraud in its tracks,” said Jane Norberg, Chief of the SEC’s Office of the Whistleblower. “The whistleblower’s tip had a substantial impact on the investigation, and aided the Commission’s ability to obtain an asset freeze and prevent the dissipation of investor funds.”

**The SEC has awarded approximately \$450 million to 82 individuals since issuing its first award in 2012.**

## SEC Awards Over \$18 Million to Whistleblower

FOR IMMEDIATE RELEASE  
2020-98

Washington D.C., April 28, 2020 —

The Securities and Exchange Commission today announced an award of more than **\$18 million** to a whistleblower whose significant information prompted an examination that resulted in an important enforcement action. The whistleblower repeatedly reported the problem internally before contacting the SEC.

“Because of this whistleblower’s actions, harmed investors were able to recover millions of dollars in losses,” said Jane Norberg, Chief of the SEC’s Office of the Whistleblower. “This whistleblower stepped forward and helped the agency better protect Main Street investors.”

## SEC Issues \$5 Million Whistleblower Award

FOR IMMEDIATE RELEASE  
2020-91

Washington D.C., April 20, 2020 —

The Securities and Exchange Commission today announced a **\$5 million** award to a whistleblower who provided significant information that led to a successful enforcement action. The whistleblower provided critical evidence of wrongdoing, which helped save time and resources in the SEC’s investigation, and the whistleblower suffered a unique hardship as a result of raising concerns internally.

“The whistleblower award today is the seventh award the SEC has announced to individual whistleblowers in the last month,” said Jane Norberg, Chief of the SEC’s Office of the Whistleblower. “These awards demonstrate the valuable contributions whistleblowers make to the protection of markets and investors and we encourage people to come forward with information about possible securities law violations.”

## SEC Awards Approximately \$2 Million to Whistleblower

FOR IMMEDIATE RELEASE

2020-80

Washington D.C., April 3, 2020 —

The Securities and Exchange Commission today announced an award of approximately **\$2 million** to a whistleblower who provided vital information and assistance that substantially contributed to an ongoing investigation. The whistleblower's information would have been difficult for the agency to obtain absent the tip.

“The whistleblower's actions in this matter were extraordinary,” said Jane Norberg, Chief of the SEC's Office of the Whistleblower. “The whistleblower expeditiously reported the information to the Commission and provided valuable assistance despite implied threats from the wrongdoers.”

## SEC Awards More Than \$7 Million to Whistleblower

FOR IMMEDIATE RELEASE

2020-46

Washington D.C., Feb. 28, 2020 —

The Securities and Exchange Commission today announced an award of more than **\$7 million** to a whistleblower whose information and assistance were critically important to the success of an enforcement action. The whistleblower provided extensive and sustained assistance, such as identifying witnesses.

“The whistleblower showed great tenacity and effort in attempting to expose the misconduct that was the basis for the SEC's action,” said Jane Norberg, Chief of the SEC's Office of the Whistleblower. “The whistleblower's information and assistance helped the SEC staff devise an investigative plan, craft document requests, and ultimately bring an important enforcement action focusing on serious financial abuses.”