

SUMMARY OF SEC WHISTLEBLOWER FINAL ORDERS (UPDATED THROUGH JULY 2016)

Ref #	Order Date	Order Type	Matter Name	Notice of Covered Action No.	# of Claimants Awarded	Total Award as Percentage of Monetary Sanctions Collected	Total Award	Whistleblower Profile(s)	Press Release
1	07/18/12	Denial			N/A				
2	08/21/12	Award	Undisclosed	2012-	1	30%	Approx. \$50k + \$150k	Undisclosed	https://www.sec.gov/News/PressRelease/Detail/PressRelease/1365171483972 https://www.sec.gov/News/PressRelease/Detail/PressRelease/1370541413136
3	11/13/12	Denial			N/A				
4	02/19/13	Denial			N/A				
5	03/19/13	Denial			N/A				
6	06/10/13	Denial			N/A				
7	06/12/13	Award	<i>SEC v. Andrey C. Hicks and Locust Offshore Management, LLC</i> , 1:11-cv-11888-RGS (D. Mass. 2011)	2012-27	3	15% (5% for each of 3 claimants)	Total Expected of \$125k	Undisclosed	Related to Award Order dated 8/30/2013
8	07/02/13	Denial			N/A				
9	08/27/13	Denial			N/A				
10	08/30/13	Award	<i>United States v. Andrey C. Hicks</i> , 1:11-cr-10407-PBS (D. Mass. 2011) (Related Action); <i>SEC v. Andrey C. Hicks and Locust Offshore Management, LLC</i> , 1:11-cv-11888-RGS (D. Mass. 2011) (SEC Action)	2013-3	3	15% (5% for each of 3 claimants)	Total Expected of \$125k	Undisclosed	https://www.sec.gov/News/PressRelease/Detail/PressRelease/1370539796657
11	09/30/13	Award	Undisclosed	2013-4	1	Undisclosed	>\$14m	Undisclosed	https://www.sec.gov/News/PressRelease/Detail/PressRelease/1370539854258
12	10/30/13	Denial			N/A				
13	10/30/13	Award	Undisclosed	Undisclosed	1	30%	>\$150k	Undisclosed	https://www.sec.gov/News/PressRelease/Detail/PressRelease/1370540158194
14	03/09/14	Denial			N/A				
15	03/09/14	Denial			N/A				
16	03/24/14	Denial			N/A				
17	04/03/14	Denial			N/A				
18	05/12/14	Denial			N/A				
19	05/16/14	Denial			N/A				
20	06/03/14	Award	Undisclosed	Undisclosed	2	30% (split evenly between 2 claimants)	\$875k	Undisclosed	https://www.sec.gov/News/PressRelease/Detail/PressRelease/1370541980219
21	07/04/14	Denial			N/A				
22	07/22/14	Award	Undisclosed	Undisclosed	3	30% (15% to claimant #1; 10% to claimant #2; 5% to claimant #3)	Undisclosed	Undisclosed	
23	07/23/14	Denial			N/A				
24	07/31/14	Award	Undisclosed	Undisclosed	1	Undisclosed	>\$400k	Internal to company	https://www.sec.gov/News/PressRelease/Detail/PressRelease/1370542578457
25	08/15/14	Denial			N/A				

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26	08/29/14	Award	Undisclosed	Undisclosed	1	20%	\$300k	Audit and compliance professional	https://www.sec.gov/News/PressRelease/Detail/PressRelease/1370542799812
27	09/22/14	Award	Undisclosed	Undisclosed	1	Undisclosed	Expected >\$30m	Undisclosed	https://www.sec.gov/News/PressRelease/Detail/PressRelease/1370543011290
28	02/13/15	Denial			N/A				
29	02/13/15	Denial			N/A				
30	02/13/15	Denial			N/A				
31	02/13/15	Denial			N/A				
32	02/13/15	Denial			N/A				
33	02/16/15	Denial			N/A				
34	03/02/15	Award	Undisclosed	Undisclosed	1	Undisclosed	Between \$475k - \$575k	Former company officer	https://www.sec.gov/news/pressrelease/2015-45.html
35	04/22/15	Award	Undisclosed	Undisclosed	1	Undisclosed	Between \$1.4m - \$1.6m	Compliance officer	https://www.sec.gov/news/pressrelease/2015-73.html
36	04/27/15	Denial			N/A				
37	04/28/15	Award	<i>In the Matter of Paradigm Capital Management, Inc. and Candace King Weir</i> , File No. 3-15930 (June 16, 2014)	2014-71	1	30%	>\$600k	Internal to company	https://www.sec.gov/news/pressrelease/2015-75.html
38	05/08/15	Denial			N/A				
39	05/24/15	Denial			N/A				
40	07/17/15	Award	Undisclosed	Undisclosed	1	Undisclosed	>\$3m	Internal to company	https://www.sec.gov/news/pressrelease/2015-150.html
41	08/05/15	Denial			N/A				
42	08/05/15	Denial			N/A				
43	08/05/15	Denial			N/A				
44	08/05/15	Denial			N/A				
45	08/24/15	Denial			N/A				
46	09/10/15	Denial			N/A				
47	09/11/15	Denial			N/A				
48	09/11/15	Denial			N/A				
49	09/11/15	Denial			N/A				
50	09/28/15	Award	Undisclosed	Undisclosed	2	20% (11% to claimant #1; 9% to claimant #2)	Undisclosed	Undisclosed	
51	09/29/15	Award	Undisclosed	Undisclosed	1	28%	Undisclosed	Undisclosed	
52	10/17/15	Denial			N/A				
53	11/04/15	Award	Undisclosed (investment firm)	Undisclosed	1	Undisclosed	>\$325k	Former employee	https://www.sec.gov/news/pressrelease/2015-252.html
54	11/30/15	Denial			N/A				
55	11/30/15	Denial			N/A				
56	11/30/15	Denial			N/A				
57	11/30/15	Denial			N/A				
58	11/30/15	Denial			N/A				

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59	01/15/16	Award	Undisclosed	Undisclosed	1	Undisclosed	>\$700k	Outsider	https://www.sec.gov/news/pressrelease/2016-10.html
60	02/02/16	Denial			N/A				
61	02/12/16	Denial			N/A				
62	02/13/16	Denial			N/A				
63	03/08/16	Award	Undisclosed	Undisclosed	3	Undisclosed	Approx. \$2m (approx \$1.8m paid to one claimant; \$65k paid to each of 2 other claimants)	Undisclosed	https://www.sec.gov/news/pressrelease/2016-41.html
64	03/14/16	Denial			N/A				
65	04/05/16	Denial			N/A				
66	04/05/16	Award	Undisclosed	Undisclosed	1	Undisclosed	Undisclosed	Undisclosed	
67	04/26/16	Denial			N/A				
68	04/29/16	Denial			N/A				
69	05/13/16	Award	Undisclosed	Undisclosed	1	Undisclosed	>\$3.5m	Company employee	https://www.sec.gov/news/pressrelease/2016-88.html
70	05/17/16	Award	Undisclosed	Undisclosed	1	Undisclosed	Between \$5m - \$6m	Former employee	https://www.sec.gov/news/pressrelease/2016-91.html
71	05/20/16	Award	Undisclosed	Undisclosed	2	Undisclosed	>\$450k	Undisclosed	https://www.sec.gov/news/pressrelease/2016-94.html
72	05/31/16	Denial			N/A				
73	06/09/16	Award	Undisclosed	Undisclosed	1	Undisclosed	>\$17m	Former employee	https://www.sec.gov/news/pressrelease/2016-114.html
74	07/19/16	Denial			N/A				
75	07/19/16	Denial			N/A				

Source:

<https://www.sec.gov/about/offices/owb/owb-final-orders.shtml>