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A STRATEGIC ALLIANCE BETWEEN
THE LAW FIRM OF

DAVID R. CHASE, P.A.

APRIL 2024

SEC WHISTLEBLOWER NEWSLETTER

ABOUT US

If you're considering blowing the whistle on an unlawful practice within the securities industry, our attorneys can help. Led by two career-long securities fraud lawyers, we represent investment fraud victims, Wall Street insiders, and others before the SEC whistleblower office.

HAPPENING THIS MONTH

OffshoreAlert[®]
Miami 2024

A Whistleblower's Guide to the Bounty

Current developments in the world of whistleblower rewards

SEC Whistleblower Attorneys Scott Silver David R. Chase

Learn more about the OffshoreAlert Miami conference

April 14-16, 2024—The Ritz-Carlton, South Beach
Miami Beach, FL USA

SEC Whistleblower Attorneys Scott Silver and David Chase will be presenting 'A Whistleblower's Guide to the Bounty' session tomorrow Tuesday, April 16th from 11:15 am to 12:15 pm as part of OffshoreAlert's conference on intelligence, investigations, and recovery in high-value international finance at The Ritz-Carlton, South Beach. [Eric Bustillo](#), [Glenn Pomerantz](#), and [Jeffrey Sloman](#) will be joining them.

We're proud to be part of this important conference that brings together the world's leading intelligence gatherers, investigators, asset recovery attorneys, insolvency practitioners, litigation funders, professional service providers, regulators, law enforcement, journalists, and more from across the world.

NEWS

April 12, 2024 by Rosalie Chen

WW

SEC Accepting Whistleblower Award Claims for \$81 Million Settlement for Recordkeeping Violations

On March 29, the SEC published Notices of Covered Actions (NoCAs) for a series of related enforcement actions charging firms with widespread recordkeeping failures. The SEC charged five broker-dealers, seven dually registered broker-dealers, and four affiliated investment advisers for wide-ranging and persistent deficiencies in maintaining and preserving electronic communications. The NoCAs signal that the SEC Office of Whistleblower is now accepting whistleblower award claims for the enforcement actions.

[Read full article](#)

Mandatory Awards are Key to Success of New DOJ Whistleblower Program

The DOJ's crucial move is to align its whistleblower awards process with the successful models of other U.S. whistleblower award programs, notably the SEC Whistleblower Program.

The DOJ has specified that it is especially interested in whistleblower tips that touch upon:

- Criminal abuses of the U.S. financial system
- Foreign corruption cases outside the jurisdiction of the SEC
- Domestic corruption cases, especially involving illegal corporate payments to government officials

Read more on the blog

LATEST AWARDS

CFTC AWARDS \$1.25 MILLION TO WHISTLEBLOWER

The latest \$1.25 million award from the Commodities Futures Trading Commission (CFTC) goes to a whistleblower who first reported misconduct internally to their employer, who then ignored the report. Following 120 days of the company's inaction, the individual submitted the information to the CFTC, who immediately opened an investigation.

[Full story on the blog](#)

Retaining Experienced SEC Whistleblower Attorneys

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DAVID R. CHASE, P.A.

GET EXPERT HELP

At the Law Firm of David R. Chase and Silver Law, we represent people who need expert legal guidance through the whistleblower process.

Free Consultation
(800) 975-4345

Our Attorneys Include Former SEC Prosecutor and Wall Street Defense Counsel

CONTACT US secwhistleblowerattorneys.com | (800).975.4345

GET A FREE CONSULTATION

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