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# Securities and Exchange Commission (SEC)

The Securities and Exchange Commission's Whistleblower Program creates a procedure for whistleblowers with knowledge of possible violations of U.S. securities laws to confidentially share their information with the SEC.

The SEC's Whistleblower Program incentivizes whistleblowers to come forward. If the government collects money from an individual or entity, the whistleblower who came forward is entitled to an award of between 10 percent and 30 percent of the total amount recovered.

The SEC Whistleblower Program was created by Congress as a part of the Dodd-Frank Wall Street Reform and Consumer Protection Act. The program is administered by the [SEC Office of the Whistleblower](#).

U.S. securities laws are comprehensive and complex, but some examples of common violations include:

- Misstatements or omissions in filings, press releases, financial statements, or other public filings;
- Offering fraud, like misstatements or omissions in a registration statement, prospectus, or public statements;
- Market manipulation (spoofing, wash trading, cornering, front running, pump and dump, benchmark manipulation, pinging, etc.);
- Insider trading;
- Misappropriation of securities through schemes like Ponzi or pyramid schemes;
- Foreign Corrupt Practices Act (FCPA) violations, including bribery of foreign officials or failure to maintain accurate books and records and sufficient internal controls;
- Sale or promotion of unregistered securities (including unregistered cryptocurrencies, non-fungible tokens, or stablecoins that qualify as securities); and
- Fraud, corruption, or failure to keep proper books and records by investment advisers.

How do I start?

Call us at (212) 337-5361. Submit an inquiry on our website. Or email us at [confidential@pollockcohen.com](mailto:confidential@pollockcohen.com). We want to hear your story.