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## SEC WHISTLEBLOWER NEWSLETTER

### Tips and Best Practices

The SEC's whistleblower program incentivizes people to come forward with evidence of securities law violations. In exchange for taking that risk—and it is a risk, because so many whistleblowers are insiders at the places where fraud happens—the program offers 10% to 30% of any financial penalty the SEC recovers.

But whistleblowers only get that money if the SEC believes their information is “high-quality” and then takes action on it. Fortunately, **there are a few things you can do to make sure your tips are information the SEC wants—and eventually lead to a substantial award.**



#### 1. USEFUL INFORMATION

The SEC whistleblower program is looking for original information, meaning that it can't be public knowledge or something that a source other than you already reported.

The SEC seems particularly interested in information that it couldn't have gotten on its own. For example, this could include information that's internal to your employer, or that the SEC wouldn't notice under normal circumstances.

#### 2. ON TARGET AND WELL-DOCUMENTED

The information should further the SEC's mission of protecting investors and maintaining fair markets. At a minimum, your information needs to reveal a possible violation of securities law. If it's something dangerous to investors, like a Ponzi scheme, the SEC is likely to be very interested.

In addition, To be useful to regulators (and, perhaps eventually, prosecutors), your information should be documented as thoroughly as possible. Physical documentation gives the SEC important details—and the ability to prove its allegations. It might also shorten the investigation.



#### 3. TIMELY

You should report information as soon as possible, for two reasons. One is that you don't want to look as if you participated in or ignored clear wrongdoing. In addition to any penalties that might expose you to, it also reduces your eligibility for an award.

The other reason is that information must be original to make you eligible for an award. If you wait, another person could report it first.

#### 4. EXPERT GUIDANCE

An **experienced SEC whistleblower attorney** can help you sort out all these rules and make sure you don't miss any crucial opportunities to earn an award. A lawyer can also help guard your anonymity when necessary.

At the **Law Firm of David R. Chase and Silver Law**, we guide whistleblowers through the process and make sure they're in the best possible position to earn an award. As career securities law attorneys, we understand what information gets the SEC's attention and how to navigate the complex whistleblower process.

**WE WANT TO HEAR YOUR STORY – SCHEDULE A FREE CONSULTATION TODAY.**

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Silver Law Group and Law Firm of David R. Chase, PA have joined forces to advocate for investors and employees who have suffered from or witnessed securities violations.

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[www.secwhistleblowerattorneys.com](http://www.secwhistleblowerattorneys.com)
 800.975.4345

**SCOTT L. SILVER**  
Chairman of the American Association of Justice securities and financial fraud group and frequently speaks about the SEC Whistleblower Program at national conferences.  
[ssilver@silverlaw.com](mailto:ssilver@silverlaw.com)

**DAVID R. CHASE**  
Former SEC Enforcement Attorney with substantial experience in strategically navigating SEC whistleblowers through the whistleblowing process. Recognized in Florida Legal Elite - Securities litigation.  
[david@davidchaselaw.com](mailto:david@davidchaselaw.com)

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