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September 2023

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.

LAWYER SPOTLIGHT



David R. Chase

Former SEC enforcement attorney and adjunct law professor at the University of Miami.



Mr. Chase has substantial experience in strategically navigating SEC whistleblowers through the whistleblowing process in order to attempt to maximize the likelihood that the SEC will initiate an investigation and, ultimately, bring a successful enforcement action resulting in a financial bounty to the whistleblower.



Can You Recognize the Red Flags of a Ponzi Scheme?



A Ponzi scheme is similar to a pyramid scheme. Both use new money to fund the early investors or entrants. Both need a continuous flow of new money to survive. Eventually, when incoming money stops, the scheme unravels.

There are various red flags of fraud. They include:

- Unusually high investment returns with little or no risk.
- Consistent investment returns despite market volatility.
- Investments that are not registered with the SEC.
- Unlicensed sellers.
- Highly complex strategies.
- No minimum qualifications for investors.
- Inadequate or non-existent risk disclosure and written documentation.
- Difficulty receiving payments.
- Schemes that are spread through members of a groups that share an affinity such as national, ethnic, or religious affiliation.

Are you aware of a Ponzi Scheme? Blow the whistle to the SEC.

[Learn more](#)

IN THE NEWS



SEC AWARDS WHISTLEBLOWER \$279M BOUNTY

THE LARGEST IN ITS HISTORY

The SEC announced an award of \$279 million to an individual for substantial assistance in an enforcement action. It's the largest award in the history of the SEC's Whistleblower program. The previous record for an award was made in October of 2020, when a whistleblower received \$114 million.

CONTACT US

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