

Claimants [REDACTED] and 6¹

The Claims Review Staff has also preliminarily determined to recommend that the Commission deny the award claims of [REDACTED] Claimant 6. The basis for this determination is as follows:

Claimants [REDACTED] and 6 did not provide information that led to the successful enforcement of the above-referenced Covered Action within the meaning of Section 21F(b)(1) of the Exchange Act and Rules 21F-3(a)(3) and 21F-4(c) thereunder because their information did not:

- a. cause the Commission to commence an examination, open or reopen an investigation, or inquire into different conduct as part of a current Commission examination or investigation, and the Commission brought a successful judicial or administrative action based in whole or in part on conduct that was the subject of the information under Rule 21F-4(c)(1) of the Exchange Act; or
- b. significantly contribute to the success of the Covered Action under Rule 21F-4(c)(2) of the Exchange Act.

[REDACTED]

¹ [REDACTED]

² [REDACTED]

[REDACTED]

[REDACTED]

With respect to Claimants [REDACTED] and 6, the Enforcement staff responsible for the Covered Action received no information from them and had no communications with them.³

By: Claims Review Staff

Date: November 19, 2019

[REDACTED]

³ We also preliminarily deny Claimant 6's award claims because Claimant 6 is not a "whistleblower" under Exchange Act Rule 21F-2(a)(1). To qualify as a whistleblower, an individual must (among other things) provide information regarding a potential securities law violation to the Commission in the form and manner that is required by Exchange Act Rule 21F-9(a). Claimant 6 contends in Claimant 6's award application that Claimant 6 submitted information to authorities in the [REDACTED] and the number identified on Claimant 6's award application does not appear to be a Commission TCR number.