

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION AS TO CLAIMANT #3 ON OCTOBER 13, 2020 PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934

Notice of Covered Action [REDACTED]

[REDACTED]

PRELIMINARY DETERMINATIONS OF THE CLAIMS REVIEW STAFF

In response to the above-referenced Notice of Covered Action, the Securities and Exchange Commission received three whistleblower award claims, two of which were submitted jointly. Pursuant to Section 21F of the Securities Exchange Act of 1934 (the “Exchange Act”) and Rule 21F-10 promulgated thereunder, the Claims Review Staff has evaluated each of these claims in accordance with the criteria set forth in Rules 21F-1 through 21F-17. The Claims Review Staff sets forth its Preliminary Determination for each award claimant as follows:

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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Page 2

[REDACTED] (“**Claimant 3**”)

The Claims Review Staff has preliminarily determined to recommend that the Commission deny an award to Claimant 3. Claimant 3 did not provide information that led to the successful enforcement of the 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 any information Claimant 3 provided did not: (1) cause the Commission to (i) commence an examination, (ii) open or reopen an investigation, or (iii) inquire into different conduct as part of a current Commission examination or investigation under Rule 21F-4(c)(1) of the Exchange Act; or (2) significantly contribute to the success of a Commission judicial or administrative enforcement action under Rule 21F-4(c)(2) of the Exchange Act.

In reaching this preliminary determination, we note that the record reflects that the investigation that resulted in the Covered Action was opened based on information jointly provided by [REDACTED]. Claimant 3 submitted two tips, one just two weeks before the Commission instituted the Covered Action and the other after the Commission instituted the Covered Action; Claimant 3’s tips did not concern the factual or legal issues in the Covered Action; and the Covered Action staff did not receive information from, or communicate with, Claimant 3.

By: Claims Review Staff

Date: August 10, 2020