

FINAL ORDER- THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION WITH RESPECT TO CLAIMANT 5 ON NOVEMBER 26, 2021 PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934

Notice of Covered Action [REDACTED]

PRELIMINARY DETERMINATIONS OF THE CLAIMS REVIEW STAFF

In response to the above-referenced Notice of Covered Action, the Securities and Exchange Commission (“Commission”) received six whistleblower award claims for the above-referenced SEC enforcement action (“Covered Action”).¹ 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-18. The Claims Review Staff sets forth its Preliminary Determination for each award claimant as follows:

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

¹ The award claims of Claimants 1, 2, 3, 4, and 5 are addressed in the instant Preliminary Determination. The Commission received an award application from a sixth claimant, which the Office of the Whistleblower preliminarily denied through the preliminary summary disposition process.

² [REDACTED]

**FINAL ORDER- THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER
OF THE COMMISSION WITH RESPECT TO CLAIMANT 5 ON NOVEMBER 26, 2021
PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934**

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

**FINAL ORDER- THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER
OF THE COMMISSION WITH RESPECT TO CLAIMANT 5 ON NOVEMBER 26, 2021
PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934**

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

**FINAL ORDER- THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER
OF THE COMMISSION WITH RESPECT TO CLAIMANT 5 ON NOVEMBER 26, 2021
PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934**

[REDACTED]

[REDACTED] (Claimant 5)

The CRS has preliminarily determined to recommend that the Commission deny an award to Claimant 5. No information submitted by Claimant 5 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) because none of the information that Claimant 5 submitted:

1. caused 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 contributed to the success of a Commission judicial or administrative enforcement action under Rule 21F-4(c)(2) of the Exchange Act.

In making the determination, the CRS notes that the record reflects that Claimant 5's information was provided after the investigation was opened by Enforcement staff. Additionally, none of Claimant 5's information contributed to the success of the Covered Action. Enforcement staff did not review Claimant 5's information or communicate with Claimant 5. Therefore, Claimant 5's information had no impact on the staff's investigation or the Covered Action.

By: Claims Review Staff

Date: September 27, 2021

[REDACTED]