

FINAL ORDER - THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON JUNE 10, 2013 PURSUANT TO RULE 21F-10(f) OF THE EXCHANGE ACT

Notice of Covered Action 2011-144

SEC v. TG Capital LLC, Thanh Viet "Jeremy" Cao, and Lodavina Grosnickle, SACV07-579 CJC (ANx) (C.D. Cal. 2011)

PRELIMINARY DETERMINATION OF THE CLAIMS REVIEW STAFF

In response to the above-referenced Notice of Covered Action, the Securities and Exchange Commission (the "Commission") received a timely whistleblower award claim. 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 the claim in accordance with the criteria set forth in Rules 21F-1 through 21F-17. The Claims Review Staff has recommended that the Commission deny an award to Claimant. The basis for this determination is as follows:

The Claimant did not submit "original information" because his information was not provided to the Commission for the first time after July 21, 2010, as required by Rule 21F-4(b)(1)(iv) under the Exchange Act. For the same reason, the Claimant cannot be considered for an award on a related criminal matter. See Rule 21F-3(b)(iv) under the Exchange Act.

By: Claims Review Staff

Date: April 9, 2013