

**FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER
OF THE COMMISSION ON AUGUST 12, 2022
AS TO CLAIMANTS 3 AND 4 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 whistleblower award claims from [REDACTED] (“Claimant 3”), and [REDACTED] (“Claimant 4”). 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 these claims in accordance with the criteria set forth in Rules 21F-1 through 21F-18. The Claims Review Staff sets forth its Preliminary Determinations for the award claimants as follows.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED] at

[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Claimant 3

The CRS has preliminarily determined to recommend that the Commission deny an award to Claimant 3. No information submitted by Claimant 3 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 the Claimant 3 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.

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[REDACTED]

In making this determination, the CRS notes that the record demonstrates that Claimant 3's information was submitted after the investigation that led to the Covered Action was opened and that Claimant 3's information was generally duplicative of information the staff had already received in the investigation. Claimant 3's information did not advance the staff's investigation or have any impact on the charges brought in the Covered Action.

Claimant 4

The CRS has preliminarily determined to recommend that the Commission deny an award to Claimant 4. No information submitted by Claimant 4 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 the Claimant 4 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 this determination, the CRS notes that the record demonstrates that Claimant 4's information was submitted after the investigation that led to the Covered Action was opened and that Claimant 4's information was generally duplicative of information the staff had already received in the investigation. Claimant 4's information did not advance the staff's investigation or have any impact on the charges brought in the Covered Action.

By: Claims Review Staff

Date: June 13, 2022