

**FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER  
OF THE COMMISSION ON NOVEMBER 18, 2022  
AS TO CLAIMANT 11 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 for the above-referenced Covered Action and Criminal Actions<sup>1</sup> from the following claimants:

[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED] (“Claimant 11”)

Pursuant to Section 21F of the Securities Exchange Act of 1934 (the “Exchange Act”) and Rules 21F-10 and 21F-11 promulgated thereunder, the Claims Review Staff (“CRS”) has evaluated these claims in accordance with the criteria set forth in Rules 21F-1 through 21F-18. The CRS sets forth its Preliminary Determinations for the award claimants as follows.

[REDACTED]

<sup>1</sup> The Criminal Actions constitute “related actions” to the Covered Action within the meaning of § 21F(a)(5) of the Exchange Act, 15 U.S.C. § 78u-6(a)(5), and Rule 21F-3(b) promulgated thereunder, 17 C.F.R. § 240.21F-3(b), as judicial or administrative actions that were brought by the Attorney General of the United States and are based on the same original information that the whistleblowers voluntarily provided to the Commission, and that led the Commission to obtain monetary sanctions totaling more than \$1,000,000.

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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Notice of Covered Action [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED] Claimant 11

The CRS has preliminarily determined to recommend that the Commission deny an award to [REDACTED] Claimant 11. No information submitted by [REDACTED] Claimant 11 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 [REDACTED] Claimant 11 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.<sup>6</sup>

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<sup>6</sup>To the extent that Claimants [REDACTED] 11 applied for a related action award in connection with the Criminal Actions, because they do not qualify for an award in the Covered Action, none are eligible for a related action award in connection with the Criminal Actions. A related action award may be made only if, among other things, the claimant satisfies the eligibility criteria for an award for the applicable covered action in the first instance. *See* 15 U.S.C. § 78u-6(b); Exchange Act Rule 21F-3(b)(1); Rule 21F-4(g) and (f), and Rule 21F-11(a); Order Determining



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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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Whistleblower Award Claims, Release No. 34-84506 (Oct. 30, 2018); Order Determining Whistleblower Award Claims, Release No. 34-84503 (Oct. 30, 2018).

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[REDACTED]

[REDACTED]

The CRS notes that the record demonstrates that Claimant 11’s information was submitted the same day the Covered Action was filed and that the staff did not review Claimant 11’s information prior to the filing of the Covered Action. Claimant 11’s information did not cause the staff to open the investigation that led to the Covered Action or inquire concerning different conduct as part of a current Commission investigation, or significantly contribute to the success of the Covered Action.

By: Claims Review Staff  
Date: September 19, 2022