

**FINAL ORDER - THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF
THE COMMISSION AS TO CLAIMANT 1 ON JANUARY 18, 2020 PURSUANT TO
RULE 21F-10(f) OF THE EXCHANGE ACT**

Notice of Covered Action [REDACTED]

PRELIMINARY DETERMINATION OF THE CLAIMS REVIEW STAFF

In response to the above-referenced Notice of Covered Action, the U.S. Securities and Exchange Commission received a whistleblower award claims from [REDACTED] (“Claimant 1”) and [REDACTED]

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 above claims in accordance with the criteria set forth in Rules 21F-1 through 21F-17. The Claims Review Staff has preliminarily determined to recommend that the Commission deny the above award claims. The basis for this determination is as follows.

Claimant 1 and [REDACTED] did not provide information that led to the successful enforcement of the above-referenced 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 the information 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 recommendation, we note that the record reflects that the investigative staff responsible for the Covered Action did not receive any information from, or have any communications with, Claimant 1 or [REDACTED] in connection with the Covered Action.

By: Claims Review Staff

Date: November 19, 2019