

**FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER  
OF THE COMMISSION ON MARCH 21, 2022  
AS TO CLAIMANT 5 PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934**

Notice of Covered Action [REDACTED]  
[REDACTED]

**PRELIMINARY DETERMINATIONS OF THE CLAIMS REVIEW STAFF**

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

[REDACTED] (“Claimant 5”) for the above-referenced Commission enforcement action (the “Covered Action”). 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 of the Exchange Act.

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Notice of Covered Action [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

**Claimant 5**

The Claims Review Staff 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) promulgated thereunder. 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 this determination, the Claims Review Staff notes that the record demonstrates that Enforcement staff responsible for the Covered Action did not open the investigation based on information provided by Claimant 5. Additionally, none of Claimant 5's information significantly contributed to the success of the Covered Action because such information was already known to Enforcement staff and did not meaningfully advance the investigation that resulted in the Covered Action. Enforcement staff received Claimant 5's tip only weeks before the Commission filed the Covered Action, and the tip was not helpful to Enforcement staff because it provided no new information warranting follow-up by Enforcement staff. Overall, none of the information provided by Claimant 5 helped advance the Covered Action investigation or was used in, or had any impact on, the charges brought by the Commission in the Covered Action or the litigation and resolution of the Covered Action.

By: Claims Review Staff

Date: January 18, 2022