

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON JULY 20, 2020 WITH RESPECT TO CLAIMANT 2 AND CLAIMANT 3 PURSUANT TO RULE 21F-10(f) OF THE EXCHANGE ACT

Notice of Covered Action <sup>Redacted</sup>

Redacted

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 three whistleblower award claims from the following claimants: <sup>Redacted</sup>, <sup>Redacted</sup> (“Claimant 2”), and <sup>\*\*\*</sup> <sup>Redacted</sup> (“Claimant 3”) <sup>Redacted</sup>.<sup>1</sup> 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-17. The Claims Review Staff sets forth its Preliminary Determinations for the award claimants as follows.

Redacted

Redacted

Redacted

Redacted

Redacted

Redacted

Redacted

Redacted

Redacted

Redacted

Redacted

Redacted

---

<sup>1</sup>We are treating Claimant 2 and Claimant 3 as joint claimants as their whistleblower award applications are functionally identical and were submitted together, and the tip on which they base their award claim was jointly submitted.

Notice of Covered Action <sup>Redacted</sup>

Redacted  
Redacted

Redacted  
Redacted

Redacted

Redacted

**Claimant 2**

The Claims Review Staff has preliminarily determined to recommend that the Commission deny an award to Claimant 2.

Claimant 2 did not provide original information that led to a successful enforcement action pursuant to Section 21F(b)(1) of the Exchange Act and Rule 21F-3(a) promulgated thereunder, because the information Claimant 2 provided did not, under Rule 21F-4(c)(1) of the Exchange Act: (1) cause the Commission to (a) commence an examination, open or reopen an investigation, or inquire into different conduct as part of a current Commission examination or investigation, and (b) thereafter bring an action based, in whole or in part, on conduct that was the subject of Claimant 2’s information, 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.

**Claimant 3**

The Claims Review Staff has preliminarily determined to recommend that the Commission deny an award to Claimant 3.

---

Redacted  
Redacted  
Redacted  
Redacted  
Redacted  
Redacted  
Redacted  
Redacted  
Redacted

Redacted

Notice of Covered Action <sup>Redacted</sup>

Redacted  
Redacted

Redacted  
Redacted

Claimant 3 did not provide original information that led to a successful enforcement action pursuant to Section 21F(b)(1) of the Exchange Act and Rule 21F-3(a) promulgated thereunder, because the information Claimant 3 provided did not, under Rule 21F-4(c)(1) of the Exchange Act: (1) cause the Commission to (a) commence an examination, open or reopen an investigation, or inquire into different conduct as part of a current Commission examination or investigation, and (b) thereafter bring an action based, in whole or in part, on conduct that was the subject of Claimant 3's information, 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.

By: Claims Review Staff  
Date: May 21, 2020