FINAL ORDER - THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON FEBRUARY 12, 2021

PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934

Notice of Covered Action:

PRELIMINARY DETERMINATIONS 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 claim from ("Claimant") for the above-referenced matter(s). 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 claim in accordance with the criteria set forth in Rules 21F-1 through 21F-18.

The Claims Review Staff has preliminarily determined to recommend that the Commission deny the above award claims. The basis for this determination is marked below as follows:

Claimant 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 any information 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'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.²

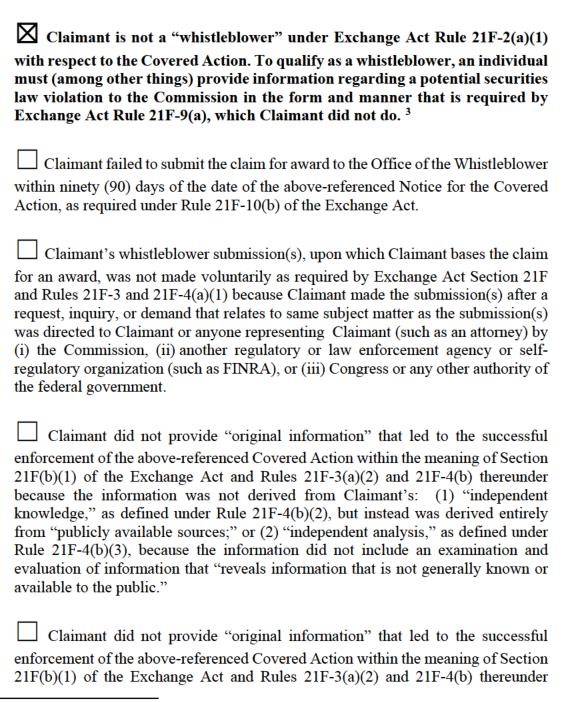
¹ To the extent Claimant has applied for an award in a related action, because Claimant is not eligible for an award in an SEC Covered Action, he is not eligible for an award in connection with any related action. *See* 15 U.S.C. § 78u-6(b); Exchange Act Rule 21F-3(b), (b)(1); Rule 21F-4(g) and (f); Rule 21F-11(a); *see also* Order Determining Whistleblower Award Claim, Release No. 34-86902 (Sept. 9, 2019).

² Claimant's information provided to investigative staff did not cause the opening of the investigation. Rather, the investigation was opened, and pursued, primarily as a result of a review of _______. Further, Claimant's information did not significantly contribute to the success of the Covered Action because it primarily consisted of information already known to the staff or publicly-available, not relevant to the investigation, or in general was otherwise vague and unsubstantiated. In addition, while not a basis for denial, the record reflects that certain information provided by Claimant primarily consisted of publicly-available information without any additional evaluation, and as such, would likely not qualify as "independent knowledge" or "independent analysis," a constituent element of "original information."

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³ Claimant did not submit information on Form TCR or online, through the Commission's website, concerning the investigation that led to the Covered Action. In addition, Claimant did not sign the required whistleblower declaration as required under Exchange Act Rule 21F-9(b) with respect to the investigation that led to the Covered Action. Although Claimant attempts to rely upon submissions that Claimant made to Commission staff in the form of emails, none of these emails were accompanied by a completed Form TCR.

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because the information.	mation provided	by	Claimant	was	already	known	to	the
Claimant did not provide "original 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)(2) and 21F-4(b) thereunder because the information was not provided to the Commission for the first time after July 21, 2010 (the date of enactment of the Dodd-Frank Wall Street Reform and Consumer Protection Act). ²								
				Ву: С	laims Re	view Sta	ff	
				Date:	Decembe	er 14, 20	20	

 $^{^2}$ See Stryker v. SEC, 780 F.3d 163 (2d Cir. 2015).