

Notice of Covered Action [REDACTED]

[REDACTED]

[REDACTED]

**PRELIMINARY DETERMINATIONS OF THE CLAIMS REVIEW STAFF**

In response to the above-referenced Notice of Covered Action, the Securities and Exchange Commission received whistleblower award claims from four individuals, two of whom submitted their award claim jointly. 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 has evaluated each of 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 each award claimant as follows:

[REDACTED]

**Covered Action**

[REDACTED]

[REDACTED]

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[REDACTED]

**Notice of Covered Action** [REDACTED]

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[REDACTED]

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[REDACTED]

[REDACTED]

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[REDACTED] (“Claimant 4”)

The Claims Review Staff has preliminarily determined to recommend that the Commission deny an award to Claimants [REDACTED] and 4.

[REDACTED] and Claimant 4 did not provide information that 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) thereunder because any information [REDACTED] and Claimant 4 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 determination, we note that the record reflects Enforcement staff responsible for the Covered Action did not receive information from, or communicate with, [REDACTED] or Claimant 4.

In addition, Claimant 4’s award claim is time-barred under Rule 21F-10 as it was dated more than five months after the deadline for submitting award claims for the Covered Action.

By: Claims Review Staff

Date: July 28, 2020