

FINAL ORDER - THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON MARCH 19, 2013 PURSUANT TO RULE 21F-10(f) OF THE EXCHANGE ACT

PRELIMINARY DETERMINATION OF THE CLAIMS REVIEW STAFF

In response to the Notices of Covered Action set forth on Appendix A hereto, the Securities and Exchange Commission (the “Commission”) received timely whistleblower award claims. 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 claims in accordance with the criteria set forth in Rules 21F-1 through 21F-17. The Claims Review Staff has recommended that the Commission deny any award to Claimant. The basis for this determination is as follows:

The information provided by Claimant after July 21, 2010 did not lead to the successful enforcement of a covered judicial or administrative action within the meaning of Section 21F(b)(1) of the Exchange Act and Rules 21F-3(a)(3) and 21F-4(c) thereunder since this information did not:

- a. 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
- b. 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
Dated: November 5, 2012

Appendix A – Award Claims

Claim No.	NoCA	Matter Name	Date Claim Submitted
1	2011-193	SEC v. Trade-LLC, Philip W. Milton, William H. Center	2/24/2012
2	2011-195	SEC v. Gregory N. McKnight, and Legisi Holdings, LLC	2/24/2012
3	2011-197	SEC v. Integrity Financial AZ LLC, Steven R. Long, Stanley M. Paulic, Walter W. Knitter, and Robert C. Koeller	2/24/2012
4	2011-198	SEC v. Norman Forrest Germany, Germany Energy Company, and Eb Germany & Sons, LLC	2/24/2012
5	2011-199	SEC v. Drake Asset Management LLC, and Oliver R. Grace, Jr.	2/24/2012
6	2011-201	In the Matter of Banco Espirito Santo S.A.	2/24/2012
7	2011-202	SEC v. America's Hedge Fund, L.P., Worldwide Partners LLC, and Christian Kuretski	2/24/2012
8	2011-203	SEC v. Frank C. Calmes, Lynn D. Rowntree, Manny J. Shulman, Younger America, Inc. f/k/a Infinity Acquisition Corp., and James E. Pratt	4/04/2012
9	2011-209	SEC v. Thomas S. Labry and Cherokee Gas Systems, Inc.	4/04/2012
10	2011-212	SEC v. Par Three Financial, Inc. and Melvin D. Ruth	4/04/2012
11	2011-213	SEC v. The Regency Group, LLC, Scott F. Gelbard, Jeffrey S. Koslosky, Aaron S. Lamkin, John J. Coutris, Michael J. Coutris, J. Coutris Partners, LP, Joseph S. Fernando, Wellington Capital Enterprises, Inc., James J. Coutris, and Dimitrios I. Gountis	4/04/2012
12	2012-2	SEC v. Market Street Advisors; Shawn R. Merriman; LLC-1; LLC-2; Marque LLC-3, and LLC-4	4/18/2012
13	2012-3	SEC v. Richard Dalton and Universal Consulting Resources LLC	4/18/2012
14	2012-5	SEC v. David Ronald Allen; William F. Burbank IV; Alex Dowlatshahi; Ilya Drapkin; Christopher Mills; Gerald Patera; Robert Wilson; Associates Capital Leasing Joint Venture; Associates Funding Group, Inc.; Capital Bankers Group, Ltd.; China Voice Holding Corp.; D-Cap Associates Joint Venture; Development Capital Associates Joint Venture; Integrity Driven Network Corp.; Lucrative Enterprises, Corp.; MG TK Corp.; Silver Summit Holdings, LLC; Sleeping Bear, LLC; Strategic Capital; Synergetic Solutions, LLC; Third Securities Corp., and Townhome Communities Corp.	4/18/2012
15	2012-6	SEC v. Advanced Optics Electronics, Inc.; Leslie S. Robins; JDC Swan, Inc., and Jason Claffey	4/18/2012
16	2012-7	SEC v. Myron Weiner	4/18/2012
17	2012-10	SEC v. Alfred S. Teo, Sr., Teren Seto Handelman, MAAA Trust	4/18/2012

		FBO Mark, Andrew, Alan, and Alfred Teo, Jr., John D. Reier, Charles D. Fortune, Jerrold J. Johnston, Mark J. Lauzon, Philip Sacks, Mitchell L. Sacks, Richard A. Herron, Lawrence L. Rosen, and David M. Ross	
18	2012-11	SEC v. Mark Anthony Longoria, Daniel L. Devore, James Fleishman Bob Nguyen, Winifred Jiau, Walter Shimoon, Samir Barai, Jason Pflaum, Bakai Capital Management, Noah Freeman, and Donald Longueuil	4/18/2012
19	2012-12	In the Matter of Gary S. Bell	4/18/2012
20	2012-14	SEC v. Eric J. Aronson; Vincent J. Buonauro, Jr.; Robert S. Kondratick; Fredric H. Aaron; PermaPave Industries, LLC; PermaPave USA Corp.; PermaPave Distributions, Inc.; Permeable Solutions, Inc.; Verigreen, LLC; and Interlink-US-Network, Ltd.	4/18/2012
21	2012-15	SEC v. Jerry L. Aubrey, Timothy J. Aubrey, Brian S. Cherry, and Aaron M. Glasser	4/18/2012
22	2012-17	SEC v. Carlo G. Chiaese and C.G.C. Advisors, LLC	4/18/2012
23	2012-18	SEC v. CytoCore, Inc., Daniel J. Burns, and Robert F. McCullough, Jr.	4/18/2012
24	2012-19	SEC v. Luis Garg, Jason Zakocs, RealFund Investment Trust, First Atlanta LP, Weatherby LP, and Citiprop Corporation	4/18/2012
25	2012-21	SEC v. James Li (a/k/a Ching Hua Li), Thomas Chow (a/k/a Man Kit Chow), Roger Kao (a/k/a Chao Chun Kao), Christopher Liu (a/k/a Chi Lei Liu), and Wayne A. Pratt	4/18/2012
26	2012-23	SEC. v. Curtis Peterson, Eric Maher, Ronald White, and Express International, LLC	4/18/2012
27	2012-24	SEC v. Daniel E. Ruettiger, Rocco Brandonisio, Stephen Decesare, Pawel P. Dynkowski, Kevin S. Kaplan, Gregg R. Mulholland, Mehmet Mustafoglu, Joseph A. Padilla, Angelo R. Panetta, Kevin J. Quinn, Andrea M. Ritchie, Chad P. Smanjak, and Gary J. Yocom	4/18/2012
28	2012-25	SEC v. Symbol Technologies, Inc., Tomo Razmilovic, Kenneth Jaeggi, Leonard Goldner, Brian Burke, Michael Degennaro, Frank Borghese, Christopher Desantis, James Heuschneider, Gregory Mortenson, James Dean, and Robert Donlon	4/18/2012
29	2012-26	SEC v. Christopher T. Vulliez and Amphor Advisors, LLC	4/18/2012
30	2012-28	SEC v. Joseph P. Nacchio, Robert S. Woodruff, Robin R. Szeliga, Afshin Mohebbi, Gregory M. Casey, James J. Kozlowski, and Frank T. Noyes	4/18/2012
31	2012-29	SEC v. Magnum d'Or Resources, Inc., Joseph J. Glusic, Shannon Allen, Dwight Flatt, and David Della Sciucca, Jr.	4/18/2012
32	2012-31	SEC v. Robert C. Butler	4/18/2012
33	2012-32	SEC v. Nicos Achilleas Stephanou, Ramesh Chakrapania, Achilleas Stephanou, George Paparrizos a/k/a Georgios	4/18/2012

		Paparrizos, Konstantinos Paparrizos, Michael G. Koulouroudis, and Joseph Contorinis	
34	2012-33	In the Matter of Prime Capital Services, Inc., Gilman Ciocia, Inc., Michael P. Ryan, Rose M. Rudden, Christie A. Andersen, Eric J. Brown, Matthew J. Collins, Kevin J. Walsh And Mark W. Wells	4/18/2012
35	2012-34	SEC v. mUrgent Corporation, Vladimir Boris Bugarski, Vladislav Walter Bugarski, and Aleksander Negovan Bugarski	4/18/2012
36	2012-35	SEC v. Spyridon Adondakis, Anthony Chiasson, Sandeep Goyal, Jon Horvath, Danny Kuo, Todd Newman, Jesse Tortora, Diamondback Capital Management, LLC, and Level Global Investors, L.P.	6/8/2012
37	2012-37	SEC v. Laurence M. Brown a/k/a Lawrence M. Brown and Ronald J. Mangini	6/8/2012
38	2012-38	SEC v. Brenda A. Eschbach	signature page not provided
39	2012-39	SEC v. Matthew J. Gagnon	6/8/2012
40	2012-41	SEC v. Timothy J. McGee, Michael W. Zirinsky, Robert L. Zirinsky, Paulo Lam, a/k/a Paul Lam, and Marianna Sze Wan Ho	6/8/2012
41	2012-42	SEC v. Raymond P. Morris; E & R Holdings, LLC; Wise Financial Holdings, LLC; Momentum Leasing, LLC; James L. Haley; Cornerstone Capital Fund, LLC; Vantage Point Capital, LLC; Jay J. Linford; Freedom Group, LLC; and Luc D. Nguyen	6/8/2012
42	2012-43	SEC v. Pentagon Capital Management PLC and Lewis Chester	6/8/2012
43	2012-44	SEC v. Petroleum Unlimited LLC, Petroleum Unlimited II LLC, Roger A. Kimmel, Jr., Harry Nyce, Michel-Jean Geraud, Robert Rossi, Joseph Valko, and Morgan Kimmel, n/k/a Morgan Petitti	6/8/2012
44	2012-45	SEC v. United American Ventures, LLC, Philip Lee David Jack Thomas, Eric J. Hollowell, Matthew A. Dies, Integra Investment Group, LLC, and Anthony "Tony" J. Oliva	6/8/2012
45	2012-48	SEC v. Kenneth A. Dachman, Scott A. Wolf, and Stone Lion Management, Inc.	6/8/2012
46	2012-49	SEC v. Option One Mortgage Corporation n/k/a Sand Canyon Corporation	6/8/2012
47	2012-50	SEC v. Halek Energy, LLC, CBO Energy, Inc., Jason A. Halek, and Christopher Chad Wilbourn	6/8/2012
48	2012-51	SEC v. Usee, Inc., Terry E. Wiese, and Scott A. Wiese	6/8/2012
49	2012-56	SEC v. Francois E. Durmaz (aka Mahmut E. Durmaz), Robert C. Pribilski, USA Retirement Management Services (aka USA Financial Management Services, Inc.)	6/8/2012
50	2012-57	SEC v. Ashbury Capital Partners, L.P., Ashbury Capital Management, L.L.C., and Mark Yagalla	6/8/2012
51	2012-59	SEC v. Matthew H. Kluger and Garrett D. Bauer	6/8/2012