

**FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER
OF THE COMMISSION ON JANUARY 22, 2021
AS TO CLAIMANT 3 PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934**

Notice of Covered Action [REDACTED]

(“Covered Action”)

PRELIMINARY DETERMINATIONS OF THE CLAIMS REVIEW STAFF

In response to the above-referenced Notice of Covered Action, the Securities and Exchange Commission (“Commission”) received whistleblower award claims from [REDACTED] and [REDACTED] (“Claimant 3”) (collectively, “Claimants”) for the above-referenced Commission enforcement action (“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 (“CRS”) has evaluated these claims in accordance with the criteria set forth in Rules 21F-1 through 21F-17. The CRS sets forth its Preliminary Determinations for the award claimants as follows.

[REDACTED]

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

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[REDACTED]

("Covered Action")

Claimant 3

The CRS has preliminarily determined to recommend that the Commission deny an award to [REDACTED] Claimant 3. No information submitted by [REDACTED] Claimant 3 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) because none of the information that [REDACTED] Claimant 3 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 CRS notes that the record demonstrates that Enforcement staff responsible for the Covered Action did not rely upon the information provided by [REDACTED] or Claimant 3 when opening the investigation, nor did they rely upon [REDACTED] or Claimant 3's information during the course of the investigation. [REDACTED]
[REDACTED]
[REDACTED]

Claimant 3 bases [REDACTED] award claim on information that [REDACTED] provided to the staff or that [REDACTED] claims [REDACTED] encouraged another individual to provide to the staff more than one year before the opening of the investigation that led to this Covered Action. Claimant 3's information was reviewed during the course of a separate investigation and did not contribute to the success of the Covered Action, which was caused to be opened by the information provided by Claimant 1.

By: Claims Review Staff

Date: November 23, 2020