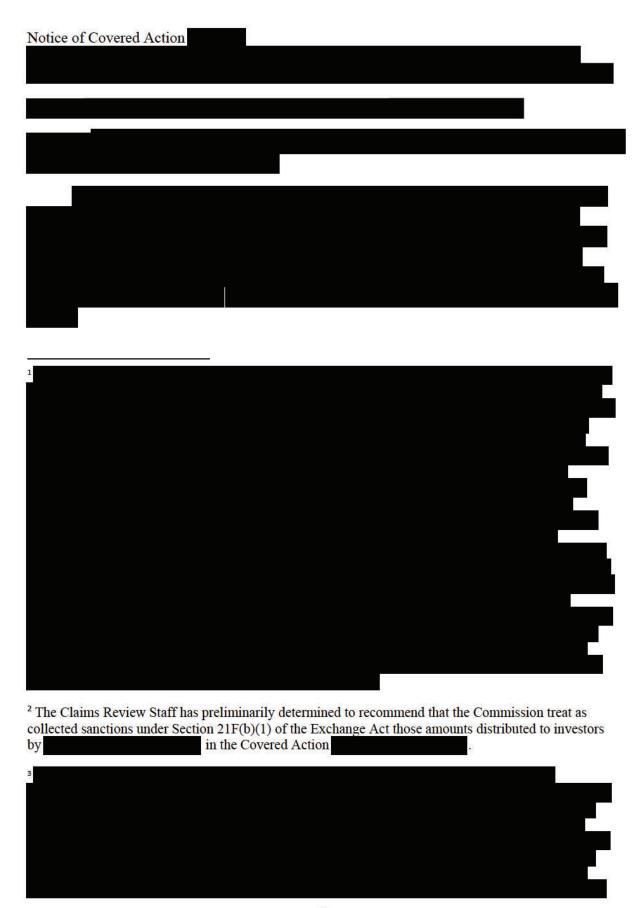
FINAL ORDER- THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON SEPTEMBER 23, 2020 AS TO CLAIMANT #2 PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934

PRELIMINARY DETERMINATION OF THE CLAIMS REVIEW STAFF
In response to the above-referenced Notice of Covered Action ("Covered Action"), the
Securities and Exchange Commission received timely whistleblower award claims from two
claimants: and ("Claimant #2") (collectively, "Claimants"). Claimants also sought awards in connection with the above-referenced criminal
action ("Criminal 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 has
evaluated these claims in accordance with the criteria set forth in Rules 21F-1 through 21F-17.



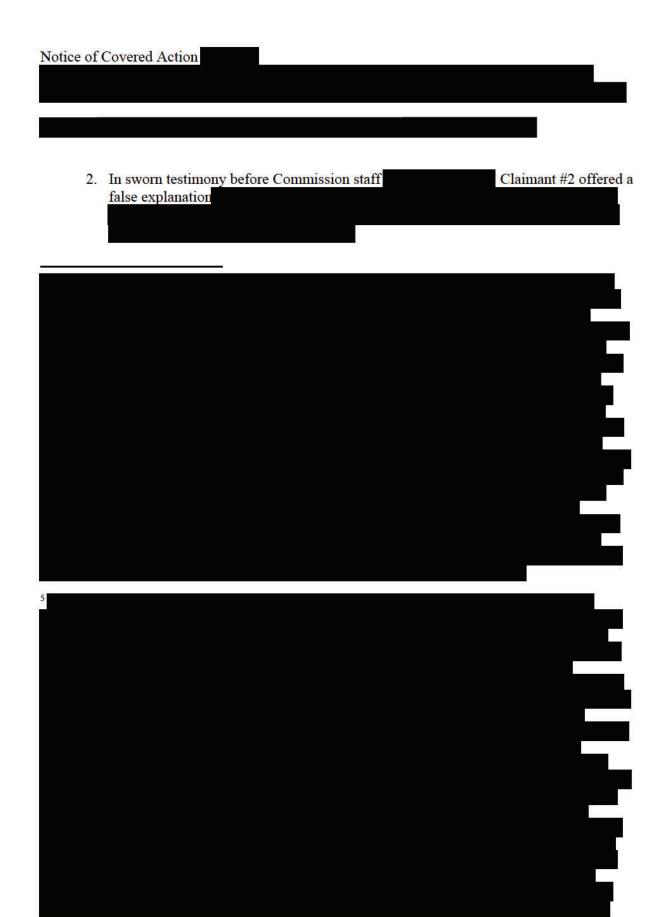


Claimant #2

With respect to the Covered Action, the Claims Review Staff has preliminarily determined to recommend that the Commission deny an award to Claimant #2 based on the following.

In connection with whistleblower award application, it is our preliminary assessment that Claimant #2 knowingly and willfully made false, fictitious, or fraudulent statements or representations within the meaning of Section 21F(i) of the Exchange Act and Rule 21F-8(c)(7) thereunder and therefore is ineligible for an award. Specifically, we preliminarily find that:





Notice of Covered Action	
The Claims Review Staff has preliminarily determined to recomment Commission deny the award applications of both Claimants with respect to The record demonstrates that the Action is predominantly an enforcinvolving violations of the Congress has established a separate, diswhistleblower program administered by For this reason, we do not treat the Commission whistleblower award.	the Action. recement action rectly applicable for such cases.
By: Claims Review Date: June 19, 2020	Staff

⁶ See Order Determining Whistleblower Award Claims, Rel. No. 34-84046 (Sept. 6, 2018). Claimant #2's claim for award in the Action also is preliminarily denied because Claimant #2 is not eligible for an award in the Covered Action. See Exchange Act Section 21F(b), 15 U.S.C. § 78u-6(b); Exchange Act Rules 21F-3(b), (b)(1), 21F-4(g) & (f), 21F-11(a), 17 C.F.R. §§ 240.21F-3(b), (b)(1), 21F-4(g) & (f), 21 F-11(a) (providing that related action awards may be made only if, among other things, the claimant satisfies the eligibility criteria for an award for the applicable covered action in the first instance); Order Determining Whistleblower Award Claims, Rel. No. 34-84506, at *8 n.5 (Oct. 30, 2018) (same).