

FINAL ORDER- THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON DECEMBER 28, 2018 PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934

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**PRELIMINARY DETERMINATION OF THE CLAIMS REVIEW STAFF**

In response to the above-referenced Notice of Covered Action, the U.S. Securities and Exchange Commission received [REDACTED] whistleblower award claims, two of which were submitted jointly. 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 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 Determination to recommend that the Commission deny an award to each claimant as follows.<sup>1</sup>

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(Claimant #1) and

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(Claimant #2)

The Claims Review Staff has preliminarily determined to recommend that the Commission deny an award to Claimant #1 and Claimant #2 based on the following.

No information provided by Claimant #1 and Claimant #2 led to the successful enforcement of the above-referenced Notice of 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 the claimants 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.<sup>2</sup>

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<sup>2</sup> The record demonstrates that staff investigating the covered action opened the investigation based on other sources of information and that none of the information Claimant #1 and Claimant #2 submitted to the Commission was forwarded to the staff handling the Covered Action.

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By: Claims Review Staff

Date: October 29, 2018

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