

FINAL ORDER- THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER
OF THE COMMISSION ON AUGUST 13, 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 one whistleblower award claim from Redacted

Redacted (“Claimant”). 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 claim in accordance with the criteria set forth in Rules 21F-1 through 21F-17.

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

The Claimant did not provide information that 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) thereunder because ” 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.

This preliminary finding that the Claimant did not lead to the success of the Covered Action is based on several considerations. First, the record demonstrates that the information the Claimant submitted to the Commission was not forwarded to the staff handling the investigation of the Covered Action. Second, the record demonstrates that the Enforcement staff handling the investigation did not receive any information from the Claimant or have any contact with the Claimant. Finally, the information provided by the Claimant to the Commission, on its face, does not relate to the claims that were asserted by the Commission in the Covered Action.¹

By: Claims Review Staff

Date: June 11, 2018

¹ Specifically, neither the subject matter nor time period of the Claimant’s tip relates to the claims in the Covered Action.