

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON MAY 12, 2021 WITH RESPECT TO CLAIMANT 2 PURSUANT TO RULE 21F-10(f) OF THE EXCHANGE ACT

Notice of Covered Action: [REDACTED]

**PRELIMINARY DETERMINATIONS OF THE CLAIMS REVIEW STAFF**

In response to the above-referenced Notice of Covered Action, the Securities and Exchange Commission (“Commission”) received two whistleblower award claims from [REDACTED] and [REDACTED] (“Claimant 2”) for the above-referenced Covered Action.<sup>1</sup> 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-18.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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<sup>1</sup> For the purposes of making an award, we have preliminarily determined to treat the Commission’s judicial and administrative actions in this matter as a single Covered Action because they arose out of the same nucleus of operative facts. *See* Securities Exchange Act of 1934 Rule 21F-4(d)(1), 17 C.F.R. § 240.21F-4(d)(1).

[REDACTED]

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[REDACTED]

Claimant 2

The Claims Review Staff has preliminarily determined to recommend that the Commission deny an award to Claimant 2. Claimant 2 did not provide original information that led to a successful enforcement action pursuant to Section 21F(b)(1) of the Exchange Act and Rule 21F-3(a) promulgated thereunder, because the information Claimant 2 provided did not: (1) under Rule 21F-4(c)(1) of the Exchange Act cause the Commission to (a) commence an examination, open or reopen an investigation, or inquire into different conduct as part of a current Commission examination or investigation, and (b) thereafter bring an action based, in whole or in part, on conduct that was the subject of Claimant 2's information, 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.

Staff who investigated the Covered Action do not recall receiving any information provided by Claimant 2, nor do they recall communicating with Claimant 2, before or during the Investigation or before the Commission instituted the additional Enforcement Actions. Staff found no record of any communications or records related to Claimant 2 in their files and confirmed that the information that caused the investigation to be opened did not originate with

[REDACTED]

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[REDACTED]

Claimant 2 in any way. Claimant 2 provided no information that was used in or that contributed to the success of the Investigation or the additional Enforcement Actions.

By: Claims Review Staff

Date: April 13, 2021