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] (“Claimant 4”). 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-18. The Claims Review Staff sets forth its Preliminary Determinations for the award claimants as follows.
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Claimant 4

The CRS has preliminarily determined to recommend that the Commission deny an award to Claimant 4. No information submitted by Claimant 4 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 Claimant 4 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
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2. significantly contributed to the success of a Commission judicial or administrative
enforcement action under Rule 21F-4(c)(2) of the Exchange Act.

Claimant 4’s information was designated in the Commission’s Tips, Complaints and
Referrals (“TCR”) System with a disposition of NFA, or no further action. A disposition of NFA
generally means that no further action is planned with respect to that TCR unless subsequent
information leads Commission staff to reopen, or reexamine that TCR. Claimant 4’s information
was not forwarded to the Enforcement staff responsible for the Covered Action, and
Enforcement staff do not recall receiving any information from Claimant 4 or reviewing the
information provided by Claimant 4.

By: Claims Review Staff
Date: May 24, 2021