

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON SEPTEMBER 10, 2015 PURSUANT TO RULE 21F-10(f) OF THE EXCHANGE ACT

Notice of Covered Action 2011-78; *Securities and Exchange Commission v. J.P. Morgan Securities LLC (f/k/a J.P. Morgan Securities Inc.)*, 11-Civ.-4206 (S.D.N.Y. filed June 21, 2011)

Notice of Covered Action 2011-200; *In the Matter of Credit Suisse Alternative Capital, LLC (f/k/a Credit Suisse Alternative Capital, Inc.)*, *Credit Suisse Asset Management LLC*, and *Samir H. Bhatt*, Administrative Proceeding File No.: 3-14594 (October 19, 2011)

Notice of Covered Action 2012-13; *Securities and Exchange Commission v. Wachovia Bank, N.A. (n/k/a Wells Fargo Bank, N.A.)*, successor by merger, Civil Action No. 2:11-cv-07135-WJM-MF (D.N.J. December 8, 2011)

PRELIMINARY DETERMINATION OF THE CLAIMS REVIEW STAFF

In response to the three above-referenced Notices of Covered Actions, the U.S. Securities and Exchange Commission received whistleblower award claims from Claimant (“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 claims 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 any awards to Claimant based on the following:

1. The information provided by Claimant does not qualify as original information as defined in Section 21F(a)(3) of the Exchange Act and Rule 21F-4(b)(1) thereunder because the information was derived from publicly available sources,¹ and specifically from allegations made in a judicial complaint filed by another party.
2. Claimant did not provide information that led to the successful enforcement of the above-referenced Notices of Covered Actions within the meaning of Section 21F(b)(1) of the Exchange Act and Rules 21F-3(a)(3) and 21F-4(c) thereunder because it did not:
 - a. 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
 - b. significantly contribute to the success of a Commission judicial or administrative enforcement action under Rule 21F-4(c)(2) of the Exchange Act.

By: Claims Review Staff

Date: June 5, 2015

¹ See Rule 21F-4(b)(2).