

**FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER  
OF THE COMMISSION ON NOVEMBER 30, 2015  
PURSUANT TO RULE 21F-10(f) OF THE EXCHANGE ACT**

Notice of Covered Action Redacted

Redacted

Redacted

**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 (collectively, “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.

- a. 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 it did not:
  - i. 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
  - ii. significantly contribute to the success of a Commission judicial or administrative enforcement action under Rule 21F-4(c)(2) of the Exchange Act.
- b. The information provided by Claimant prior to July 21, 2010 is not “original information” within the meaning of Section 21F(a)(1) of the Exchange Act and Rule 21F-4(b)(1)(iv) thereunder because it was not provided to the Commission for the first time after July 21, 2010, the date of enactment of the Dodd-Frank Wall Street Reform and Consumer Protection Act.<sup>1</sup>

By: Claims Review Staff  
Date: September 30, 2015

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<sup>1</sup> See *Stryker v. SEC*, 780 F.3d 163 (2d Cir. 2015); In the Matter of the Claim for Award in connection with *SEC v. Advanced Technologies Group LTD, Alexander Stelmak, and Abelis Raskas, LLC*, 10-cv-4868 (S.D.N.Y. 2011), Release No. 70772 (October 30, 2013), at 8-12.