

FINAL ORDER - THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION WITH RESPECT TO CLAIMANT #1 ON NOVEMBER 30, 2015, PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934.

Notice of Covered Action

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 whistleblower award claims from Redacted (“Claimant 1”), and Redacted (“Claimant 2”). 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.

Claimant 1

The Claims Review Staff has preliminarily determined to recommend that the Commission deny an award to Claimant 1 based on the following:

1. The information provided by Claimant 1 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 1 did not provide original 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:
 - 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.

Claimant 2

Redacted

¹ See Rule 21F-4(b)(2).

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By: Claims Review Staff

Date: September 30, 2015