

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER
OF THE COMMISSION WITH RESPECT TO CLAIMANTS #2 AND #3 ON APRIL 1, 2016
PURSUANT TO RULE 21F-10(f) OF THE EXCHANGE ACT

Notice of Covered Action: Redacted

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PRELIMINARY DETERMINATION OF THE CLAIMS REVIEW STAFF

In response to the above-referenced Covered Action, the Securities and Exchange Commission received five timely whistleblower award claims. 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-17. The Claims Review Staff sets forth its Preliminary Determination for each award claimant as follows.

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Redacted (Claimant #2)¹

Redacted (Claimant #3)

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The Claims Review Staff has preliminarily determined to recommend that the Commission deny awards to Claimant #2, Claimant #3, Redacted The basis for this determination is as follows:

Neither Claimant #2, Claimant #3, Redacted provided information that led to the successful enforcement of the referenced 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 none of the information that the claimants 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
2. significantly contributed to the success of a Commission judicial or administrative enforcement action under Rule 21F-4(c)(2) of the Exchange Act.

¹ Claimant #2 also claims an award in connection with actions brought by Redacted Claimant #2 is not eligible for an award under the Commission's whistleblower program in connection with Redacted because Claimant is not eligible for an award in connection with a Commission Covered Action, for the reasons stated herein. See Rule 21F-3(b)(2). Claimant #2 also claims an award in connection with Redacted Redacted That action, however, did not result in monetary sanctions over \$1,000,000, and therefore, does not qualify as a Covered Action for which an award may be made.

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By: Claims Review Staff

Date: February 1, 2016

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