

**FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER
OF THE COMMISSION ON OCTOBER 21, 2016
PURSUANT TO RULE 21F-10(f) OF THE EXCHANGE ACT**

Notice of Covered Action 2013-83
SEC v. John A. Mattera, et al., 11-cv-08323 (S.D.N.Y.)

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} (“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 because Claimant 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)(2) and 21F-4(b) thereunder because the information was not derived from Claimant’s:

- a. “independent knowledge,” as defined under Rule 21F-4(b)(2), but instead was derived entirely from “publicly available sources;” or
- b. “independent analysis,” as defined under Rule 21F-4(b)(3), because the information did not include an “examination and evaluation of information” that “reveals information that is not generally known or available to the public.”

By: Claims Review Staff

Date: July 7, 2016