

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION WITH RESPECT TO CLAIMANT #2 ON NOVEMBER 7, 2016 PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934

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 Securities and Exchange Commission (“Commission”) received whistleblower award claims from Redacted 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. The Claims Review Staff has recommended that the Commission deny awards to both Claimants. The basis for this determination is as follows:

1. Redacted Claimant #2 are not whistleblowers for purposes of this covered action within the meaning of Rule 21F-2(a) under the Exchange Act because neither claimant provided the Commission with information relating to a possible violation of the federal securities laws pursuant to the procedures set forth in Rule 21F-9. Redacted

Redacted

Redacted As to Claimant #2, in ... whistleblower award claim, Claimant #2 neither states nor suggests that ... submitted any information to the Commission in writing.

2.

Redacted

Redacted

3.

Redacted

Redacted

a.

Redacted

Notice of Covered Action Redacted

Redacted

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b.

Redacted

Redacted¹

By: Claims Review Staff

Date: September 7, 2016

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Redacted

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