FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION ON FEBRUARY 18, 2017 PURSUANT TO RULE 21F-10(f) OF THE EXCHANGE ACT OF 1934

Notice of Covered Action 2013-112


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 a whistleblower award claim from [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 the Claimant. The basis for this determination is as follows:

The 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 the Claimant's information did not:

a. cause the Commission to commence an examination, open or reopen an investigation, or 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.¹

By: Claims Review Staff

Date: September 7, 2016

¹ In support of this conclusion, we note that the record firmly demonstrates that none of the information provided to the Commission by the Claimant was provided to the staff responsible for the Covered Action, and that the Covered Action staff never reviewed or used any of the Claimant’s information in successfully prosecuting the Covered Action.