

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION WITH RESPECT TO CLAIMANT 2 AND CLAIMANT 3 ON JUNE 20, 2017 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 Securities and Exchange Commission (“Commission”) received three 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) and Redacted (Claimant 3)

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

No information provided by Claimant 2 and Claimant 3 led to the successful enforcement of the referenced Covered Action within the meaning of Section 21F(b)(1) of the Exchange Act

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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

By: Claims Review Staff

Date: April 21, 2017

¹ The record demonstrates that no information submitted by Claimant 2 or Claimant 3 was forwarded to Covered Action staff and that the staff assigned to the Covered Action did not receive any information, directly or indirectly, from Claimant 2 or Claimant 3 in connection with the investigation that resulted in the Covered Action. Further, the record demonstrates that none of the information that they submitted was used in the matter in any way.