

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE
FINAL ORDER OF THE COMMISSION WITH RESPECT TO CLAIMANTS #5 AND #6
ON SEPTEMBER 18, 2017 PURSUANT TO RULE 21F-10(f) OF THE
SECURITIES EXCHANGE ACT OF 1934

Notice of Covered Action

Redacted

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PRELIMINARY DETERMINATION OF THE CLAIMS REVIEW STAFF

In response to the above-referenced Notice of Covered Action, the Securities and Exchange Commission received ^{***} 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 with respect to the Covered Action.¹

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(Claimant #5)

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(Claimant #6)

The Claims Review Staff has preliminarily determined to recommend that the Commission deny awards to ^{Redacted} Claimant #5, and Claimant #6. The basis for this determination is as follows:

None of ^{Redacted} Claimant #5's, nor Claimant #6's information led to the successful enforcement of the referenced 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 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.

By: Claims Review Staff

Date: July 18, 2017