

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION WITH RESPECT TO CLAIMANTS 4, 6, 7, 9, 11, 12, 13, AND 14 ON SEPTEMBER 9, 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 U.S. Securities and Exchange Commission (the “Commission”) received whistleblower award claims from the following individuals (collectively, the “Claimants”):

Redacted	Redacted
Redacted	Redacted
Redacted	Redacted
Redacted	(“Claimant 4”) Redacted
Redacted	(“Claimant 6”)
Redacted	(“Claimant 7”) Redacted
Redacted	(“Claimant 9”) Redacted
Redacted	(“Claimant 11”)
Redacted	(“Claimant 12”)
Redacted	(“Claimant 13”)
Redacted	(“Claimant 14”)

Pursuant to Section 21F of the Securities Exchange Act of 1934 (the “Exchange Act”) and Rule 21F-10 promulgated thereunder, the Claims Review Staff (“CRS”) has evaluated the above claims in accordance with the criteria set forth in Rules 21F-1 through 21F-17. The CRS has preliminarily determined to recommend that the Commission deny all of the above award claims. The basis for this determination is as follows:

1. None of the Claimants provided information that led to the successful enforcement by the Commission of a federal court or administrative action with respect to the above-referenced Notice of Covered Action, as required by Exchange Act Rules 21F-3(a)(3) and 21F-4(c), because they did not:
 - a. cause 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 Exchange Act Rule 21F-4(c)(1); nor
 - b. significantly contribute to the success of a Commission judicial or administrative enforcement action under Exchange Act Rule 21F-4(c)(2).
2. ^{Redacted}
 - a. ^{Redacted}

Redacted

b. Redacted

1

3. Redacted

4. Before the Commission entered a cease-and-desist order, the qualifying order, in the above-referenced Covered Action, Claimant 14 failed to submit information about a possible securities law violation in the form and manner required by Exchange Act Rules 21F-9(a)-(b). As a result, with respect to the information of Claimant 14 that the Commission received before the qualifying order was filed in the Covered Action, Claimant 14 does not qualify as a whistleblower, *see* Exchange Act Section 21F(a)(6) and Rule 21F-2(a)(1), and is not eligible for an award, *see* Exchange Act Rule 21F-2(a)(2) and Rule 21F-(8)(a).²

By: Claims Review Staff

Date: July 11, 2017

¹ Redacted

² In their award applications for the above-referenced Notice of Covered Action, Claimants^{Redacted} 4, 7, 9, ^{***} 12, and 14 applied for awards in connection with various purported “related actions.” Because these claimants do not qualify for an award in the covered action brought by the Commission, their respective requests for related action awards is denied. A related action award may be made only if, among other things, the claimant satisfies the eligibility criteria for an award for the applicable covered action in the first instance. *See* 15 U.S.C. § 78u-6(b); Exchange Act Rule 21F-3(b), (b)(1); Rule 21F-4(g) and (f); Rule 21F-11(a). Moreover, some of the cases Claimants^{Redacted} 4, 7, ^{***} 12, and 14 identified as the basis for their related action awards are not “related actions” since those cases were not brought by the non-Commission entities designated under Exchange Act Rules 21F-3(b)(1) and 21F-4(g) and (f).