

**FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER
OF THE COMMISSION ON NOVEMBER 6, 2021
AS TO CLAIMANT 5 PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934**

Notice of Covered Action: [REDACTED]
[REDACTED]

Notice of Covered Action [REDACTED]
[REDACTED]

(the “Covered Actions”)

PRELIMINARY DETERMINATIONS OF THE CLAIMS REVIEW STAFF

In response to the above-referenced Notice of Covered Actions, the Securities and Exchange Commission (“Commission”) received [REDACTED] whistleblower award claims from the following claimants: [REDACTED] [REDACTED] [REDACTED] and [REDACTED] (“Claimant 5”). 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-18. The Claims Review Staff sets forth its Preliminary Determinations as follows:

[REDACTED]
[REDACTED]

[REDACTED]

[REDACTED]

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Page 2

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

³ [REDACTED]

⁴ [REDACTED]

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Notice of Covered Action

(the "Covered Actions")

Page 3

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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Page 4

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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(the “Covered Actions”)

Page 5

[REDACTED]

Claimant 5

The Claims Review Staff has preliminarily determined to recommend that the Commission deny an award to Claimant 5.

Claimant 5 did not provide original information that led to a successful enforcement action pursuant to Section 21F(b)(1) of the Exchange Act and Rules 21F-3(a) and 21F-4(c) thereunder, because the information Claimant 5 provided did not: (1) under Rule 21F-4(c)(1) of the Exchange Act, cause the Commission to (a) commence an examination, open or reopen an investigation, or inquire into different conduct as part of a current Commission examination or investigation, and (b) thereafter bring an action based, in whole or in part, on conduct that was

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(the “Covered Actions”)

Page 6

the subject of Claimant 5’s information, or (2) significantly contribute to the success of a Commission judicial or administrative enforcement action under Rule 21F-4(c)(2) of the Exchange Act.

In reaching this recommendation, we note that the record reflects that Claimant 5’s information was submitted after the investigation had opened and many months after the [REDACTED] action had been filed in federal court. Claimant 5 made allegations about another company, and the information was forwarded to Enforcement staff in another office who were investigating that matter. Enforcement staff working on the Covered Actions never received the information or had any communications with Claimant 5. Claimant 5’s information was not used in, nor had any impact on, the charges brought by the Commission in the Covered Actions.

By: Claims Review Staff

Date: September 7, 2021