

**FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER  
OF THE COMMISSION ON DECEMBER 31, 2022  
AS TO CLAIMANT 9 PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934**

Notice of Covered Action [REDACTED]

[REDACTED]

**PRELIMINARY DETERMINATIONS OF THE CLAIMS REVIEW STAFF**

In response to the above-referenced Notice of Covered Action, the Securities and Exchange Commission (“Commission”) received whistleblower award claims for the above-referenced Covered Action and Criminal Actions<sup>1</sup> from the following claimants:

[REDACTED]

(“Claimant 9”)

Pursuant to Section 21F of the Securities Exchange Act of 1934 (the “Exchange Act”) and Rules 21F-10 and 21F-11 promulgated thereunder, the Claims Review Staff (“CRS”) has evaluated these claims in accordance with the criteria set forth in Rules 21F-1 through 21F-18. The CRS sets forth its Preliminary Determinations for the award claimants as follows.

[REDACTED]

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<sup>1</sup> The Criminal Actions constitute “related actions” to the Covered Action within the meaning of § 21F(a)(5) of the Exchange Act, 15 U.S.C. § 78u-6(a)(5), and Rule 21F-3(b) promulgated thereunder, 17 C.F.R. § 240.21F-3(b), as judicial or administrative actions that were brought by the Attorney General of the United States and are based on the same original information that the whistleblowers voluntarily provided to the Commission, and that led the Commission to obtain monetary sanctions totaling more than \$1,000,000.

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

Claimant 9, [REDACTED]

The CRS has preliminarily determined to recommend that the Commission deny an award to [REDACTED] Claimant 9, [REDACTED]. No information submitted by [REDACTED] Claimant 9, [REDACTED] led to the successful enforcement of the Covered Action within the meaning of Section 21F(b)(1) of the Exchange Act and Rules 21F-3(a)(3) and 21F-4(c) because none of the information that [REDACTED] Claimant 9, [REDACTED] 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.<sup>6</sup>

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<sup>6</sup> To the extent that Claimants [REDACTED], 9, [REDACTED] applied for a related action award in connection with the Criminal Actions, because they do not qualify for an award in the Covered Action, none are eligible for a related action award in connection with the Criminal Actions. 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)(1); Rule 21F-4(g) and (f), and Rule 21F-11(a); Order Determining



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[REDACTED]

[REDACTED]

[REDACTED]

The CRS notes that the record demonstrates that Claimant 9’s responsibilities at [REDACTED] focused on conducting internal investigations of employee misconduct and illegal activities. Accordingly, pursuant to 21F-4(b)(4)(iii)(B), Claimant 9’s information cannot be considered original information. In addition, Claimant 9’s information focused on [REDACTED] in [REDACTED] whereas the Covered Action focused on other misconduct in [REDACTED], which Claimant 9 did not provide information on. Claimant 9’s information did not cause Enforcement staff to open the investigation or inquire concerning different conduct as part of a current Commission investigation; nor did it significantly contribute to the success of the Covered Action.

[REDACTED]

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Whistleblower Award Claims, Release No. 34-84506 (Oct. 30, 2018); Order Determining Whistleblower Award Claims, Release No. 34-84503 (Oct. 30, 2018).

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

By: Claims Review Staff  
Date: September 19, 2022