

**FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER
OF THE COMMISSION ON AUGUST 16, 2021
AS TO CLAIMANT 4 PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934**

Notice of Covered Action [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 from [REDACTED] (“Claimant 4”). 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 these claims in accordance with the criteria set forth in Rules 21F-1 through 21F-18. The Claims Review Staff sets forth its Preliminary Determinations for the award claimants as follows.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED] Claimant 4

The CRS has preliminarily determined to recommend that the Commission deny an award to [REDACTED] Claimant 4. No information submitted by [REDACTED] Claimant 4 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 4 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

[REDACTED]

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2. significantly contributed to the success of a Commission judicial or administrative enforcement action under Rule 21F-4(c)(2) of the Exchange Act.

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

Claimant 4's information was designated in the Commission's Tips, Complaints and Referrals ("TCR") System with a disposition of NFA, or no further action. A disposition of NFA generally means that no further action is planned with respect to that TCR unless subsequent information leads Commission staff to reopen, or reexamine that TCR. Claimant 4's information was not forwarded to the Enforcement staff responsible for the Covered Action, and Enforcement staff do not recall receiving any information from Claimant 4 or reviewing the information provided by Claimant 4.

By: Claims Review Staff

Date: May 24, 2021