

FINAL ORDER- THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION WITH RESPECT TO CLAIMANT 3 ON NOVEMBER 26, 2019 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 Securities and Exchange Commission (“Commission”) received three 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.

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(Claimant 3)

The Claims Review Staff has preliminarily determined to recommend that the Commission deny an award to Claimant 3. The basis for this determination is as follows.

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Claimant 3 was not a “whistleblower” under Exchange Act Rule 21F-2(a)(1). To qualify as a whistleblower, an individual must provide the Commission with information relating to a possible securities law violation pursuant to the procedures set forth in Exchange Act Rule 21F-9(a), which Claimant 3 did not do. Specifically, Claimant 3 did not submit any information on a Form TCR to the Office of the Whistleblower at any time, nor did Claimant 3 sign the required whistleblower declaration as required under Exchange Act Rule 21F-9(b).⁴

By: Claims Review Staff

Date: September 27, 2019

⁴ We also note that had Claimant 3 satisfied Exchange Act Rule 21F-9, we would still preliminarily deny Claimant 3’s award claim for the same reasons that we are preliminarily denying ^{Redacted} award claim.