

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE
FINAL ORDER OF THE COMMISSION ON JUNE 24, 2019 PURSUANT TO
RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934

Notice of Covered Action

Redacted

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Notice of Covered Action

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Notice of Covered Action

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PRELIMINARY DETERMINATION OF THE CLAIMS REVIEW STAFF

In response to the above-referenced Notices of Covered Actions, the U.S. Securities and Exchange Commission received jointly submitted whistleblower award claims from Redacted Redacted (“Claimants”).

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 above claims in accordance with the criteria set forth in Rules 21F-1 through 21F-17. The Claims Review Staff has preliminarily determined to recommend that the Commission deny the above award claims. The basis for this determination is as follows.

Claimants did not provide information that led to the successful enforcement of the above-referenced Covered Actions within the meaning of Section 21F(b)(1) of the Exchange Act and Rules 21F-3(a)(3) and 21F-4(c) thereunder because the information provided did not:

1. 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 Rule 21F-4(c)(1) of the Exchange Act; 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 preliminary recommendation, we note that the record shows that staff in the Commission’s Office of Market Intelligence closed Claimants’ tips (Redacted Redacted) with a disposition of no further action planned or NFA, and did not forward the tips to Enforcement staff in connection with any investigation, including the above-referenced Covered Actions.¹

By: Claims Review Staff

Date: April 25, 2019

¹ We further note that the Claimants submitted award claims in connection with thirteen other matters, but subsequently withdrew those award claims. After withdrawing those claims, the Claimants then filed claims in connection with these three Covered Actions.