

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION WITH RESPECT TO CLAIMANT #4 ON SEPTEMBER 18, 2017 PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934

Notice of Covered Action

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**PRELIMINARY DETERMINATION OF THE CLAIMS REVIEW STAFF**

In response to the above-referenced Notice of Covered Action, the Securities and Exchange Commission (“Commission”) received <sup>Redacted</sup> whistleblower award claims, <sup>Redacted</sup>

<sup>Redacted</sup> 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 #4);

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The Claims Review Staff has preliminarily determined to recommend that the Commission deny awards to Claimant #4,

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The basis for this determination is as follows:

No information provided by Claimant #4,

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led to the successful enforcement of the referenced Covered Action within the meaning of Section 21F(b)(1) of the Exchange Act and Rules 21F-3(a)(3) and 21F-4(c) thereunder because none of the information that the claimants 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.

With respect to Claimant #4,

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the record

demonstrates that none of the information that these claimants provided was forwarded to the staff handling the investigation or litigation of the Covered Action. The staff similarly did not receive any information from these claimants or have any contact with them, and no information that they submitted was used in the successful enforcement of the Covered Action.

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By: Claims Review Staff

Date: July 18, 2017