

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE
FINAL ORDER OF THE COMMISSION ON OCTOBER 3, 2018 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 received a whistleblower award claim from ^{Redacted} (“Claimant”) for the above-referenced matter. 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 this award claim 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 an award to Claimant because Claimant did not provide information that led to the successful enforcement of the above-referenced Notice of 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 it did not:

1. cause the Commission to commence an examination, open or reopen an investigation, or 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 support of this preliminary recommendation, we note that the record demonstrates that the information that Claimant identified in ^{***} Form WB-APP as the information that ^{***} provided in connection with this Covered Action was never provided to the staff responsible for the Covered Action. The information was reviewed by staff in the Office of Market Intelligence and, based on that review, it was marked for a disposition of “No Further Action,” meaning that no further action would occur with respect to that submission unless subsequent information led the staff to reevaluate that assessment. Moreover, the Covered Action staff never reviewed or used any of Claimant’s information in pursuing the Covered Action or undertaking the underlying investigation.

By: Claims Review Staff

Date: August 3, 2018