

**FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER  
OF THE COMMISSION ON JUNE 7, 2021  
AS TO CLAIMANT 3 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 three whistleblower award claims from the following claimants: [REDACTED] and [REDACTED] (“Claimant 3”) (collectively, “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 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]

FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER  
OF THE COMMISSION ON JUNE 7, 2021  
AS TO CLAIMANT 3 PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934

Notice of Covered Action [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

**Claimant 3**

The Claims Review Staff has preliminarily determined to recommend that the Commission deny an award to Claimant 3.

Claimant 3 did not provide original information that led to a successful enforcement action pursuant to Section 21F(b)(1) of the Exchange Act and Rules 21F-3(a) and 21F-4(c)

**FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER  
OF THE COMMISSION ON JUNE 7, 2021  
AS TO CLAIMANT 3 PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934**

Notice of Covered Action [REDACTED]  
[REDACTED]

thereunder, because the information Claimant 3 provided did not: (1) under Rule 21F-4(c)(1) of the Exchange Act, cause the Commission to (a) commence an examination, open or reopen an investigation, or inquire into different conduct as part of a current Commission examination or investigation, and (b) thereafter bring an action based, in whole or in part, on conduct that was the subject of Claimant 3’s information, 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.

Specifically, Claimant 3 alleged that the Company was [REDACTED]. Claimant 3’s information was submitted after the Enforcement staff had opened a matter under investigation. Although Claimant 3’s information was reviewed and incorporated into an examination of the Company by a Division of Examinations<sup>4</sup> team (“Examinations”) from [REDACTED] [REDACTED] Examinations was unable to substantiate Claimant 3’s [REDACTED] allegations. Because Examinations was unable to corroborate Claimant 3’s information, the Enforcement staff never had any communications with Claimant 3. Enforcement staff did not rely upon Claimant 3’s allegations when conducting the investigation, and Claimant 3’s information was not used in, nor had any impact on, the charges brought by the Commission in the Covered Action.

By: Claims Review Staff

Date: May 3, 2021

---

<sup>4</sup> The Division of Examinations was formerly known as the Office of Compliance, Inspections, and Examinations.