

APPENDIX

to

SEC Rulemaking Petition 4-783

Petitioners hereby request that the SEC issue the following directive to staff in regard to the processing of claims filed by news media whistleblowers under the Dodd-Frank Act:

Pursuant to the Commission's authority under Commission Rule § 2.206 and DFA Rule § 240.21F-8(a), and in accordance with the statutory definition of "original information" set forth in 15 U.S.C. § 78u-6(a)(3), the Commission hereby instructs claims determination staff to waive the following rules in any case in which an award applicant can demonstrate that he or she voluntarily provided "original information" to the news media that otherwise meets the qualifications for a reward pursuant to 15 U.S.C. § 78u-6(b) and files a timely application for a award in accordance with 17 C.F.R. §§ 240.21F-10 or 11:

- (1) Rule 21F-9(a)-(b), the requirement that whistleblowers file a TCR when providing original information to the Commission; and
- (2) Rule 21F-4(a)(1), provided that the whistleblower voluntarily submitted his or her original information to the news media prior to receiving a request or demand to submit that information from the SEC or from another government agency.