



DIVISION OF
ENFORCEMENT

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

October 18, 2019

Jane Norberg, Chief
Office of the Whistleblower
Phone: (202) 551-4790
Fax: (703) 813-9322

SENT VIA SECURE EMAIL

Richard Corenthal, Esq.
Archer, Byington, Glennon & Levine LLP
303 South Broadway, Suite 234
Tarrytown, NY 10591
rcorenthal@abglaw.com

Re: Victor Hong

WB-APP deficient applications

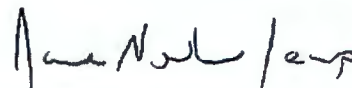
Dear Mr. Corenthal:

This will confirm our receipt of your letter of September 27, 2019, requesting "all materials that formed the basis of the Claims Review Staff's Preliminary Determination."

In my previous letter to you dated September 18, 2019, I advised you that **"your client has again not submitted a properly filed whistleblower award application and we cannot consider your claim for an award at this time."** Unless and until your client submits a proper award application, there can be no Preliminary Determination and no corresponding right to see the record related to a Preliminary Determination.

If you have any questions or need help in understanding whether there is a current Covered Action posted for which you should apply, or information on when a person is authorized to request an administrative record, please do not hesitate to call us at **(202) 551-4790**.

Sincerely,


Jane Norberg



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ENFORCEMENT

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
WASHINGTON, D.C. 20549

September 18, 2019

Jane Norberg, Chief
Office of the Whistleblower
Phone: (202) 551-4790
Fax: (703) 813-9322

SENT VIA UPS

Richard Corenthal, Esq.
Archer, Byington, Glennon & Levine LLP
303 South Broadway, Suite 234
Tarrytown, NY 10591
rcorenthal@abglaw.com

Re: Victor Hong

WB-APP application dated September 5, 2019

Dear Mr. Corenthal:

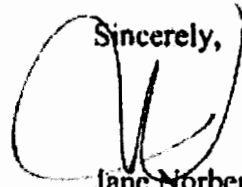
This will confirm our receipt of your client's submission of a whistleblower award application on Form WB-APP dated September 5, 2019.

This is the fourth time you have submitted an award application for your client and, as with your three earlier submissions you cite to a matter, "Royal Bank of Scotland/DoJ Settlement" that is not a Covered Action. As we pointed out in prior letters dated February 8, 2016, August 4, 2016 and September 7, 2016 a "Covered Action" is defined under Section 21F(a)(1) of the Securities Exchange Act of 1934 as a "judicial or administrative action **brought by the Commission** under the securities laws that results in monetary sanctions exceeding \$1,000,000." Royal Bank of Scotland/DoJ Settlement does not appear to have been brought by the Securities and Exchange Commission, but instead by the U.S. Department of Justice. As such, it does not qualify as a Covered Action. **Accordingly, your client has again not submitted a properly filed whistleblower award application and we cannot consider your claim for an award at this time.**

A complete list of all of the posted Covered Actions can be found at <http://www.sec.gov/about/offices/owb/owb-awards.shtml>. If the SEC has posted, or does post, a notice of Covered Action for the subject matter of your client's complaint and he believes that his tip led to an **SEC** enforcement action that garnered over \$1 million in monetary sanctions in that Covered Action, please re-file your application **listing the specific Covered Action to which it relates** as well as any Related Action for which you believe you are eligible for an award.

Richard Corenthal, Esq.
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If you have any questions or need help in understanding whether there is a current Covered Action posted for which you should apply, please do not hesitate to call us at (202) 551-4790.

Sincerely,

Jane Norberg