

**FINAL ORDER – THIS PRELIMINARY SUMMARY DISPOSITION BECAME THE FINAL ORDER  
OF THE COMMISSION ON JANUARY 3, 2023  
PURSUANT TO RULE 21F-18(b)(4) OF THE SECURITIES EXCHANGE ACT OF 1934**

**Notice of Covered Action:** [REDACTED]

**PRELIMINARY SUMMARY DISPOSITION  
OF THE OFFICE OF THE WHISTLEBLOWER**

In response to the above-referenced Notice of Covered Action, the U.S. 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-18 promulgated thereunder, the Office of the Whistleblower has evaluated the above claim in accordance with the criteria set forth in Rules 21F-1 through 21F-18 and has designated your award application for resolution through the summary disposition process.

The Office of the Whistleblower has preliminarily determined to recommend that the Commission deny the above award claim.<sup>1</sup> The basis for this determination is marked below as follows:

Claimant did not provide information that led to the successful enforcement of the above-referenced Covered Actions within the meaning of Section 21F(b)(1) of the Exchange Act and Rules 21F-3(a)(3) and 21F-4(c) thereunder because any information provided did not, under Rule 21F-4(c)(1) of the Exchange Act: (1) 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 claimants’ 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.<sup>1</sup>

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<sup>1</sup> To the extent Claimant has applied for an award in a related action, because Claimant is not eligible for an award in an SEC Covered Action, he/she is not eligible for an award in connection with any related action. See 15 U.S.C. § 78u-6(b); Exchange Act Rule 21F-3(b), (b)(1); Rule 21F-4(g) and (f); Rule 21F-11(a); see also Order Determining Whistleblower Award Claim, Release No. 34-86902 (Sept. 9, 2019).

<sup>1</sup> Investigative staff responsible for the Covered Action never received any information from Claimant or had any communications with Claimant. As such, Claimant did not provide any information that was used in, or otherwise had any impact on, the investigation or resulting Covered Action. In addition, a search of the TCR system indicated that Claimant submitted six TCRs, the first of which was submitted approximately two weeks before the settled Covered Action was instituted, and the others were submitted after the settled Covered Action was instituted. The TCR system indicates that all six TCRs were closed with a disposition of “no further action,” which generally means that no further action is planned with respect to that TCR unless subsequent information leads Commission staff to reopen, or reexamine that TCR.

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**Notice of Covered Action:** [REDACTED]

Claimant failed to specify in the award application the submission pursuant to Rule 21F-9(a) on which the Claimant's claim for an award is based.<sup>2</sup>

By: Office of the Whistleblower

Date: December 2, 2022

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<sup>2</sup> Claimant failed to identify a TCR number on Claimant's award application. Claimant's WB-APP also references an entity that was not involved in the investigation or the Covered Action.