

**FINAL ORDER-THIS PRELIMINARY SUMMARY DISPOSITION BECAME THE
FINAL ORDER OF
THE COMMISSION ON NOVEMBER 24, 2023, PURSUANT TO RULE 21F-18(b)(4)
OF THE SECURITIES EXCHANGE ACT OF 1934**

Notice of Covered Action: ██████████
██████████ ██████████

Reference Number: 11242023

**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 (“Commission”) received a whistleblower award claim from ██████████ (“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.¹ The basis for this determination is marked below as follows:

- The information provided by Claimant was never provided to or used by staff handling the Covered Action or underlying investigation (or examination), and those staff members otherwise had no contact with Claimant. Therefore, Claimant did not provide information that led to the successful enforcement of the above-referenced Covered Action(s) within the meaning of Section 21F(b)(1) of the Exchange Act and Rules 21F-3(a)(3) and 21F-4(c) thereunder because the information provided did not: (1) cause the Commission to (i) commence an examination, (ii) open or reopen an investigation, or (iii) 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.²

¹ Claimant applied for an award in a potential related action. However, 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).

² Investigative staff responsible for the Covered Action received information from Claimant approximately five months after the Covered Action investigation had opened. However, Claimant’s information was based on publicly available information of which Enforcement staff responsible for the Covered Action was already aware. Enforcement staff responsible for the Covered Action had no communications with the Claimant or his/her counsel. Although Claimant was interviewed by other Enforcement staff in connection with another complaint Claimant had filed, those other Enforcement staff were not members of the Covered Action investigation, and they did not provide any information to the Enforcement staff responsible for the Covered Action investigation about the Covered Action. As such, Claimant did not provide any information that was used in, or otherwise had any impact on, the investigation or resulting Covered Action.

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Notice of Covered Action: [REDACTED]

Reference Number: 11242023

By: Office of the Whistleblower

Date: September 26, 2023