

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 (“SEC” or “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:

**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 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.<sup>2</sup>**

**Claimant failed to specify in the award application the Form TCR submission pursuant to Rule 21F-9(a) on which the Claimant’s claim for an award is based.**

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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 a SEC Covered Action, they are 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>2</sup> **The Covered Action staff received Claimant’s information after the Matter Under Inquiry had been opened. Claimant’s information also did not significantly contribute to the success of the investigating or resulting Covered Action because Claimant’s information was already known to the Covered Action staff, was based on publicly available information, or otherwise did not appear to relate to the investigation or the charges in the Covered Action. Further, Covered Action staff had no communications with Claimant.**

**FINAL ORDER - THIS PRELIMINARY SUMMARY DISPOSITION BECAME THE FINAL ORDER  
OF THE COMMISSION ON JUNE 13, 2021  
PURSUANT TO RULE 21F-18(b)(4) OF THE SECURITIES EXCHANGE ACT OF 1934**

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

By: Office of the Whistleblower

Date: May 11, 2021