

FINAL ORDER-THIS PRELIMINARY SUMMARY DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON FEBRUARY 9, 2024 AS TO CLAIMANTS 1, 2 AND 3 PURSUANT TO RULE 21F-18(b)(4) OF THE SECURITIES EXCHANGE ACT OF 1934

Notice of Covered Action [REDACTED]

OWB Reference No. 02092024

**PRELIMINARY SUMMARY DISPOSITIONS
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 whistleblower award claims from [REDACTED] (“Claimant 1”), [REDACTED] (“Claimant 2”), and [REDACTED] (“Claimant 3”) (collectively, “Claimants”) 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 claims in accordance with the criteria set forth in Rules 21F-1 through 21F-18 and has designated your award applications for resolution through the summary disposition process.

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

The information provided by Claimants 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 Claimants. Therefore, Claimants 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.²

Claimant 1’s award application is frivolous or lacking a colorable connection between the tip and the Commission action for which Claimant 1 has sought an award within the

¹ To the extent Claimants have applied for an award in a related action, because Claimants are not eligible for an award in an 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).

² Investigative staff responsible for the Covered Action never received any information from Claimants or had any communications with Claimants. As such, Claimants did not provide any information that was used in, or otherwise had any impact on, the investigation or resulting Covered Action.

FINAL ORDER-THIS PRELIMINARY SUMMARY DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON FEBRUARY 9, 2024 AS TO CLAIMANTS 1, 2 AND 3 PURSUANT TO RULE 21F-18(b)(4) OF THE SECURITIES EXCHANGE ACT OF 1934

Notice of Covered Action [REDACTED]

meaning of Rule 21F-8(e) of the Exchange Act.³

Claimant 2 failed to comply with the requirements of Rule 21F-9 of the Exchange Act when submitting the tip upon which the award claim is based, and Claimant 2 is not eligible for a waiver under either Rule 21F-9(e) or the Commission's other waiver authorities.⁴

By: Office of the Whistleblower

Date: January 10, 2024

³ Claimant 1's tip was unrelated to the conduct underlying the Covered Action. Claimant has filed numerous whistleblower award applications in various Covered Actions based on the same tip, which was closed without further action.

⁴ In connection with the Covered Action, Claimant 2 does not base the award claim on a Form TCR, or any other information, provided directly to the SEC, but rather, information [REDACTED] provided to another government agency. Enforcement staff did not receive Claimant 2's information from the other government agency.