

FINAL ORDER – THIS PRELIMINARY SUMMARY DISPOSITION BECAME THE FINAL ORDER OF THE COMMISSION ON APRIL 6, 2022 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(s) of Covered Action, the U.S. Securities and Exchange Commission (“Commission”) received a whistleblower award claim from [REDACTED] 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, 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.²

¹ 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, 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 reviewed Claimant’s tip as well as the [REDACTED] that Claimant contends to have authored. However, none of the information contained in the tip or [REDACTED] provided any new information that substantially advanced the investigation, because it was either duplicative of information Enforcement staff already had or was otherwise vague and unsupported. After reviewing Claimant’s information, Enforcement staff did not contact Claimant and did not have any communications with [REDACTED]. As such, Claimant did not provide any information that was used in, or otherwise had any impact on, the investigation or resulting Covered Action.

Notice of Covered Action: [REDACTED]
[REDACTED]

Claimant's application does not raise any novel or important legal or policy questions and is denied on the basis marked below:

Claimant did not provide "original 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)(2) and 21F-4(b) thereunder because the information provided by Claimant was already known to the Commission.³

By: Office of the Whistleblower

Date: March 7, 2022

³ By the time Enforcement staff reviewed Claimant's tip and [REDACTED] that [REDACTED] contends to have authored, Enforcement staff had already identified [REDACTED] and were independently aware of [REDACTED]. Claimant did not provide any new or meaningful information that Enforcement staff used in the Covered Action investigation.