

**FINAL ORDER-THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF
THE COMMISSION ON JANUARY 21, 2025 AS TO COVERED ACTION 1
PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934**

Notice of Covered Action: [REDACTED]

Notice of Covered Action: [REDACTED]

OWB Reference No.: 01212025A

PRELIMINARY DETERMINATIONS OF THE CLAIMS REVIEW STAFF

In response to the above-referenced Notices of Covered Actions, the U.S. Securities and Exchange Commission received whistleblower award claims from [REDACTED] ("Claimant") for the above-referenced matters. Pursuant to Section 21F of the Securities Exchange Act of 1934 (the "Exchange Act") and Rule 21F-10 promulgated thereunder, the Claims Review Staff has evaluated the above claims in accordance with the criteria set forth in Rules 21F-1 through 21F-18.

The Claims Review Staff has preliminarily determined to recommend that the Commission deny the above award claims.¹ 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 claimant's 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.²

By: Claims Review Staff

Date: August 26, 2024

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, [REDACTED] 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 The investigation that resulted in the Covered Actions was not opened based upon any information submitted by the Claimant, but rather opened based on a referral of information to the Commission from the [REDACTED] and the staff's investigative efforts in connection with that referral. Enforcement staff responsible for the Covered Actions did not receive or review any information from Claimant, or have any communications with Claimant, prior to [REDACTED] which was after the filing of the Commission's complaint in the [REDACTED] Action and just a couple of weeks before the Commission's complaint was filed in the [REDACTED] Action. While Enforcement staff responsible for the Covered Actions received information, including a document, from, and had a communication with, Claimant on or around [REDACTED], none of that information was used in, or otherwise had any impact on, the filing or the success of the Covered Actions.