

**FINAL ORDER – THESE PRELIMINARY SUMMARY DISPOSITIONS
BECAME THE FINAL ORDER OF THE COMMISSION
AS TO CLAIMANT 1 ON AUGUST 25, 2026 PURSUANT TO
RULE 21F-18(b)(4) OF THE SECURITIES EXCHANGE ACT OF 1934**

Notice of Covered Action [REDACTED]
[REDACTED]

Reference No. 08252026

**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”) and [REDACTED] (collectively, “Claimants”) for [REDACTED] (collectively, “Covered Actions”).

Pursuant to Section 21F of the Securities Exchange Act of 1934 (“Exchange Act”) and Rule 21F-18 promulgated thereunder, the Office of the Whistleblower (“OWB”) has evaluated the above claims in accordance with the criteria set forth in Rules 21F-1 through 21F-18 and has designated Claimant 1’s [REDACTED] award application [REDACTED] for resolution through the summary disposition process.¹

OWB has preliminarily determined to recommend that the Commission deny the above award claims for the reasons stated below.²

Claimants did not provide information to the Commission that led to the successful enforcement of the Covered Actions within the meaning of Section 21F(b)(1) of the Exchange Act and Rules 21F-3(a)(2) and (3) and 21F(c) thereunder. Claimants’ information did not 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 Claimants’ 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.

¹ See Exchange Act Rule 21F-18(a)(1)–(6).

² Claimants are not eligible for any related action award. A related action award may be made only if, among other things, the claimant satisfies the eligibility criteria for an award for the applicable covered action in the first instance. See Exchange Act Section 21F-6(b); Exchange Act Rule 21F-3(b), (b)(1); Exchange Act Rule 21F-4(f) and (g); Exchange Act Rule 21F-11(a).

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According to Division of Enforcement Staff (“Staff”) responsible for the investigation that led to the Covered Actions (“Investigation”), none of Claimants’ information was used by Staff in connection with bringing the Covered Actions. Claimants’ information was not used in, and had no impact on, the Investigation or the resulting Covered Actions.

Specifically, as to Claimant 1, the Investigation was not opened based on any information provided by Claimant 1. Staff does not recall receiving or reviewing any information provided by Claimant 1; nor does Staff recall communicating with Claimant 1, before or during the Investigation.

Claimant 1 alleges that: (1) from [REDACTED] counsel communicated with [REDACTED]; (2) in [REDACTED] counsel communicated with [REDACTED]; and (3) from [REDACTED] communicated with [REDACTED], all regarding Claimant 1’s TCRs. Staff, however, does not recall [REDACTED] having anything to do with, or having any impact on, the Investigation or the Covered Actions; further, Staff is unaware of any communications that Claimant 1 may had with [REDACTED] having anything to do with, or having any impact on, the Investigation or the Covered Actions. Overall, according to Staff, Claimant 1 did not provide any information that was used in or advanced the Investigation or the Covered Actions.

[REDACTED]

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Notice of Covered Action [REDACTED]

[REDACTED]

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[REDACTED]

By: Office of the Whistleblower

Date: July 24, 2026