

Notice of Covered Action: [REDACTED]  
[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 (“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 submitted an untimely award application because Claimant failed to**

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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 an SEC Covered Action, Claimant 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).

<sup>2</sup> **Claimant did not provide information that caused the Covered Action investigation to open, as the investigation was opened prior to Claimant submitting his information. Claimant also did not significantly contribute to the success of the Covered Action. While investigative staff responsible for the Covered Action received information from Claimant several months after the opening of the investigation, Claimant’s information was duplicative of information staff was already aware of and was otherwise vague and non-specific.**

FINAL ORDER - THIS PRELIMINARY SUMMARY DISPOSITION BECAME THE FINAL ORDER  
OF THE COMMISSION ON MAY 19, 2021  
PURSUANT TO 21F-18(b)(4) OF THE SECURITIES EXCHANGE ACT OF 1934

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[REDACTED]  
[REDACTED]

submit the claim for award to the Office of the Whistleblower within ninety (90) days of the date of the above-referenced Notice of Covered Action, as required under Rule 21F-10(b) of the Exchange Act.<sup>3</sup>

By: Office of the Whistleblower

Date: April 19, 2021

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<sup>3</sup> See Order Determining Whistleblower Award Claim, Release No. 34-77368 (Mar. 14, 2016), *pet. for rev. denied sub nom. Cerny v. SEC*, 708 F. App'x 29 (2d Cir. Sept. 7, 2017), *cert. denied*, 138 S.Ct. 2005 (2018). The deadline to file award claims for the Covered Action was [REDACTED]. Claimant's award application was dated [REDACTED], more than a month after the deadline.