

FINAL ORDER-THIS PRELIMINARY SUMMARY DISPOSITION BECAME  
THE FINAL ORDER OF THE COMMISSION ON SEPTEMBER 9, 2025  
PURSUANT TO RULE 21F-18(b)(4) OF THE SECURITIES EXCHANGE ACT OF 1934

Notice of Covered Action [REDACTED] Notice  
of Covered Action [REDACTED]  
Notice of Covered Action [REDACTED]  
[REDACTED]  
Notice of Covered Action [REDACTED]  
[REDACTED]  
Notice of Covered Action [REDACTED]  
Notice of Covered Action [REDACTED]  
Notice of Covered Action [REDACTED]

**OWB Reference No: 09092025A**

**PRELIMINARY SUMMARY DISPOSITIONS  
OF THE OFFICE OF THE WHISTLEBLOWER**

In response to the above-referenced Notices of Covered Action, the U.S. Securities and Exchange Commission (“Commission”) received whistleblower award claims from [REDACTED] (“Claimant”). 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 and has designated your award applications for resolution through the summary disposition process.<sup>1</sup>

The Office of the Whistleblower (“OWB”) has preliminarily determined to recommend that the Commission deny the above award claims.<sup>2</sup> First, Claimant did not submit any information to the Commission. Accordingly, Claimant failed to specify in the award applications the submission pursuant to Rule 21F-9(a) upon which Claimant’s claims for an award are based.<sup>3</sup>

Second, Claimant’s award applications lack a colorable connection to the Covered Actions for which Claimant has sought awards within the meaning of Rule 21F-8(e) of the Exchange Act.<sup>4</sup>

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<sup>1</sup> See Exchange Act Rule 21F-18(a)(1)-(6).

<sup>2</sup> To the extent Claimant 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 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>3</sup> Claimant failed to identify any tips or submissions as the basis for an award for any of the Covered Actions.

<sup>4</sup> Information submitted by Claimant in [REDACTED] WB-APP award applications do not relate to the conduct in the Covered Actions.

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Accordingly, OWB recommends that the Commission permanently bar Claimant from participation in the Commission's Whistleblower Program. Claimant has filed three or more award applications that are frivolous or fraudulent, or otherwise hinder the effective and efficient operation of the Whistleblower Program. Any permanent bar that is issued will apply to any pending application from Claimant at any stage of the claims review process.<sup>5</sup>

By: Office of the Whistleblower

Date: August 8, 2025

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<sup>5</sup> On [REDACTED], and [REDACTED], OWB provided notice by email and United Parcel Service to Claimant of its determinations that [REDACTED] award claims were frivolous or lacking a colorable connection between the tips and the Covered Actions for which Claimant sought awards and gave Claimant the opportunity to withdraw these [REDACTED] claims. Claimant did not respond within the 30-day response period which ended on [REDACTED].