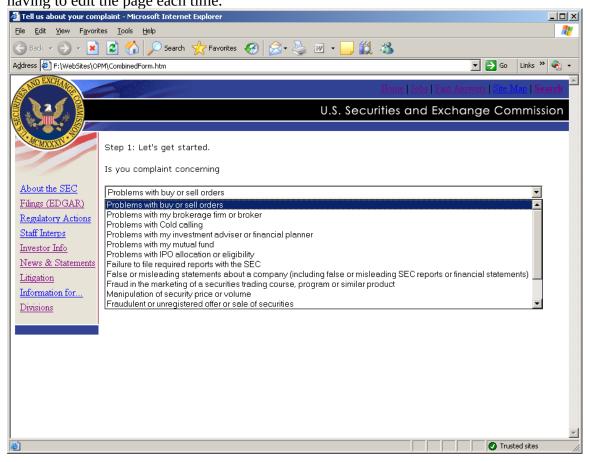
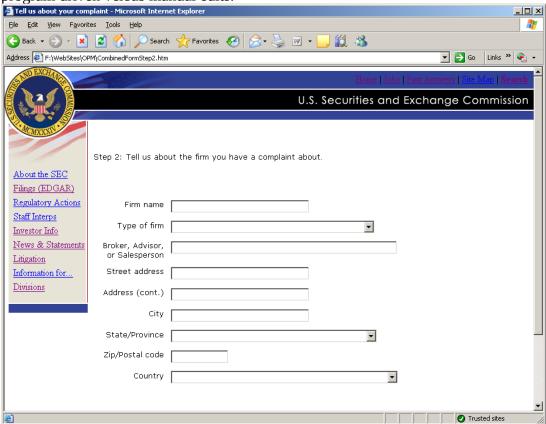
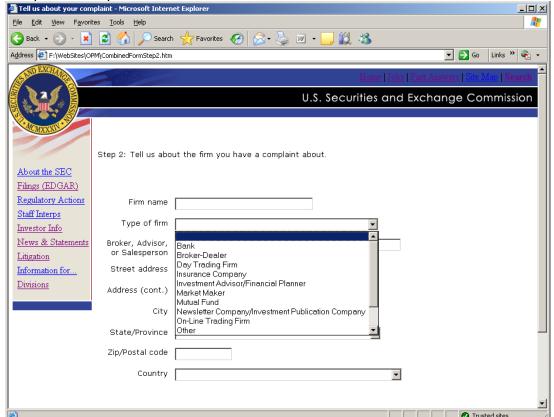
Step One: Starts the process. The list is capable of being dynamic instead of manually having to edit the page each time.



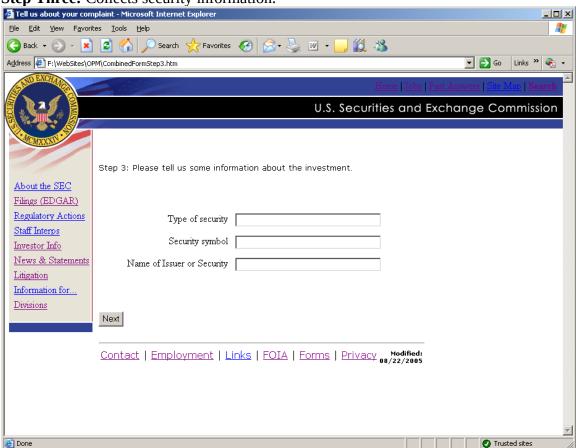
Step Two: Begins the collection process. Where appropriate drop-down lists are program driven versus manual edits.



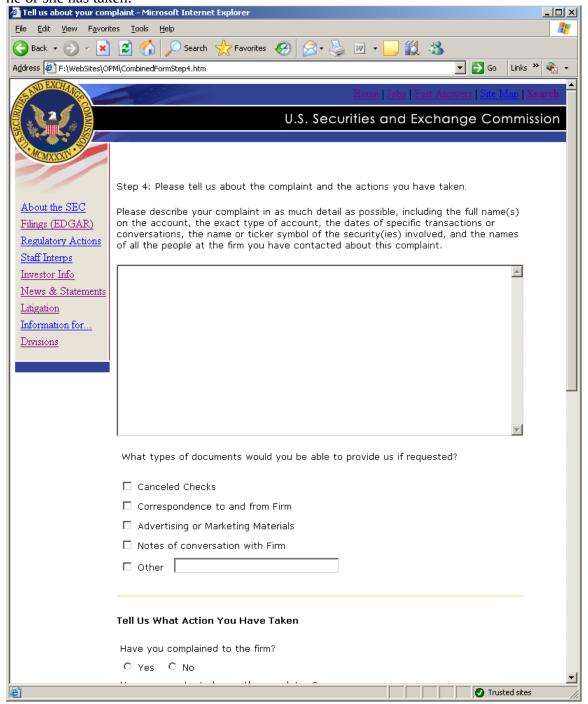
Sample of a drop down:



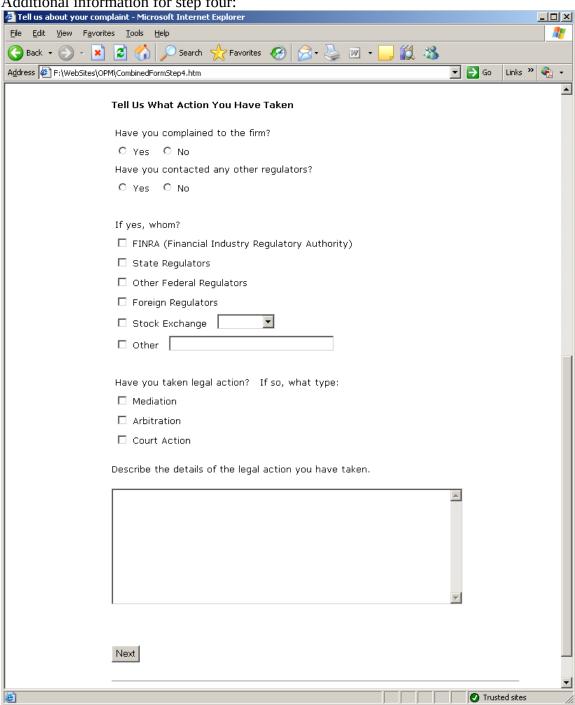
Step Three: Collects security information.



Step Four: Allows the investor to provide information about the complaint and actions he or she has taken.



Additional information for step four:



Step Five: Requests optional personal information: Tell us about your complaint - Microsoft Internet Explorer <u>File Edit View Favorites Tools Help</u> (Back ▼ () ▼ | ★ 7 Favorites 🥝 🔎 Search 🤘 Address F:\WebSites\OPM\CombinedFormStep5.htm 🔽 🔁 Go 🛮 Links 🤲 🍖 🕶 U.S. Securities and Exchange Commission Step 5: Personal Information. About the SEC Please read our brochure, $\underline{\text{How We Handle Complaints}}$, for information on what Filings (EDGAR) we will do with your complaint, your legal rights, and options for resolving your complaint. Regulatory Actions Staff Interps ● Yes, send the form to the ${\ensuremath{\mathsf{C}}}$ No, do not send the form to the firm <u>Investor Info</u> firm or company. or company. If you choose "no", we will record your complaint in our database, but News & Statements we cannot help you any further. Litigation Information for... **Tell Us About Yourself Divisions** * You must complete this information. Title * First name Middle initial * Last name

* Street address
Address (cont.)

* State/Province (required if US or Canada) * Zip/Postal code

Davtime nhone | [

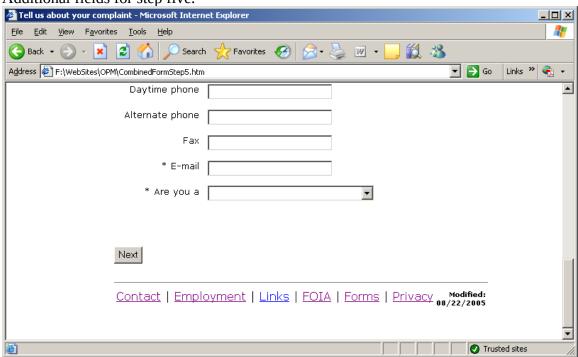
http://www.sec.gov/search/search.htm

* City

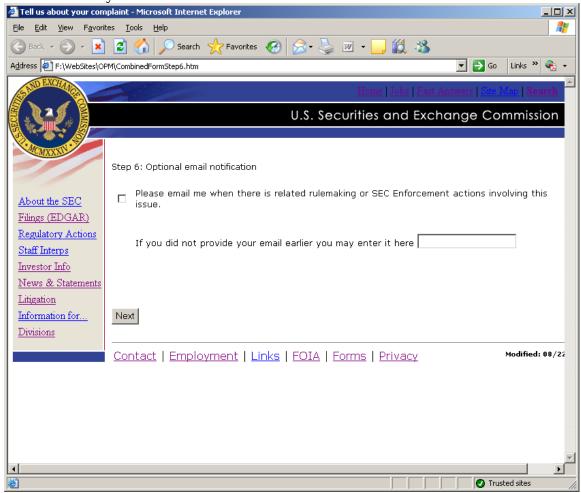
* Country UNITED STATES

Trusted sites

Additional fields for step five.



Step Six: For the investor's convenience, we are offering the option for the investor to be alerted when we have rulemaking or an Enforcement action related to the issue(s) about which they contacted the SEC.



Review Step: Allows the investor to review their entries and correct inaccuracies or submit the complaint (1 of 3 screens):



Additional information on the review screen (2 of 3): SEC Investor Complaint Form - Microsoft Internet Explorer File Edit View Favorites Tools Help Cack ▼ Search Favorites 🥝 ▼ 🗦 Go Links » 🍖 🕶 Address F:\WebSites\OPM\CombinedFormStepReview.htm • Tell Us About Your Investment Type of Security Blank check offerings Name of Issuer or Security Some Issuesr Security Symbol asdf Tell Us About Your Complaint Can you provide Yes cancelled checks? Can you provide correspondence Yes to and from Firm? Can you provide advertising or Yes marketing materials? Can you provide notes Yes of conversation with Firm? Can you provide other materials? Tell Us What Action You Have Taken Have you complained Yes to the firm? Regulators Contacted FINRA State Regulators Other Federal Regulators Foreign Regulators Stock Exchange Other unspecified regulator Trusted sites

Additional information on the review screen (3 of 3):

