

## Ombudsman Matter Management System Data Fields

### **'About You' section:**

Are You a Retail (Individual) Investor?

- Yes  
 No

Do You Wish to Report Anonymously?

- Yes  
 No

May We Contact other U.S. Securities and Exchange Commission (SEC) Divisions/Offices, Self-Regulatory Organizations, individuals and/or other entities regarding this Matter?

- Yes, you may contact other SEC Divisions/Offices, Self-Regulatory Organizations, individuals and/or other entities regarding this matter  
 No, do not contact other SEC Divisions/Offices, Self-Regulatory Organizations, individuals and/or other entities regarding this matter

Prefix [dropdown menu options: Mr., Ms., Mrs., Dr., Rev., The Honorable]

First Name [fillable text field]

Middle Name [fillable text field]

Last Name [fillable text field]

Address [fillable text field]

City [fillable text field]

Country [dropdown menu of country options]

State/Province [dropdown menu options dependent on country selection]

Zip/Postal Code [fillable text field]

Primary Phone Number [fillable text field]

Alternate Phone Number [fillable text field]

Primary Email [fillable text field]

Secondary Email [fillable text field]

### **'Your Matter' section:**

Is Your Matter About the U.S. Securities and Exchange Commission (SEC)?

Yes

No

If Yes, Please Select the SEC Office(s) or Division(s)  
[Multi-select dropdown menu options list SEC Divisions and Offices]

Is Your Matter About a Self-Regulatory Organization (SRO)?

Yes

No

If Yes, Please Select the Self-Regulatory Organization(s) (SROs)  
[Multi-select dropdown menu options list Self-Regulatory Organizations]

**'Entity(ies)/Individual(s) Involved' sub section:**

Entity Name [fillable text field]

Entity Phone [fillable text field]

Entity Website [fillable text field]

Address [fillable text field]

City [fillable text field]

Country [dropdown menu of country options]

State/Province [dropdown menu options dependent on country selection]

Zip/Postal Code [fillable text field]

Individual First Name [fillable text field]

Individual Last Name [fillable text field]

Job Title [fillable text field]

Mobile [fillable text field]

Fax [fillable text field]

Email [fillable text field]

**'Your Matter' section continued:**

What is Your Matter About? [Multi-select dropdown menu options choices: Collateralized Mortgage Obligations (CMOs), Debt Securities/Bonds, Equity Security/Stock, Exchange Traded Funds (ETFs), Foreign Securities, Hedge Funds, Initial Public Offerings (IPOs), Lower-rated and "junk" Bonds, Money Market Accounts, Mortgage-Backed Securities, Municipal Bonds, Mutual Funds, Options, Ponzi/Pyramid

Schemes and Multi-level Marketing Organizations, Retirement Accounts, U.S. Government Securities/Agency Issues, Unit Investment Trust (UITs), Variable Annuities, and Other]

Name of Issuer or Security [fillable text field]

Security Ticker Symbol [fillable text field]

Describe Your Matter in Detail [fillable text field]

What additional documents can you provide if requested [Multi-select dropdown menu options choices: Advertising or Marketing Materials, Written Materials, Emails, and Notes of Conversation]

**'Have You Already' section:**

Contacted the SEC Before About This Matter?

- Yes
- No

If Yes, Which SEC Division(s)/Office(s) Did You Contact?  
[Dropdown menu options list SEC Divisions and Offices]

Submitted a Tips, Complaints and Referrals (TCR) Questionnaire, Investor Inquiry Form, and/or Investor Complaint Form to the SEC Relating to This Matter?

- Yes
- No

If yes, do you have a TCR Number, or Other ID or Reference Number relating to this Matter?  
[fillable text field]

Contacted any Self-Regulatory Organizations (SROs) Directly?

- Yes
- No

Contacted Any Other Regulators And/Or Law Enforcement Agencies Directly?

- Yes
- No

If Yes, Which Regulators And/Or Law Enforcement Agencies? [Multi-select dropdown menu options choices: State Regulators, Other Federal Regulators, and Foreign Regulators]

Taken Any Legal Action?

- Yes
- No

If So, What Type of Legal Action? [Multi-select dropdown menu options choices: Mediation, Arbitration, Court Action, and Other (includes fillable text field)]

Please provide additional details [fillable text field]