

# 7-28-16 OMMS Testing

U.S. SECURITIES AND EXCHANGE COMMISSION

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## OMBUDSMAN MATTER MANAGEMENT SYSTEM (OMMS) SUBMISSION FORM

OMB Number: 3234-0478  
Expires: Month—30, 20—  
Estimated Average  
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Thank you for contacting the Ombudsman for assistance. By completing this OMMS Submission Form, you greatly enhance our ability to review your matter details and respond to you in a timely manner. For more information about the Office of the Investor Advocate and how the Ombudsman may be able to assist you, please visit <https://www.sec.gov/investorad>.

**IMPORTANT:** We do not edit personally identifiable information (PII) from submissions. To learn more about how we may use the information you send to us, please read the SEC Privacy Policy at <https://www.sec.gov/privacy.htm>.

**DISCLAIMER:** The Ombudsman treats all matters as confidential, and takes reasonable steps to safeguard confidentiality. Unless authorized by statute, rule, or other provisions of law, or under circumstances such as a threat of imminent risk or serious harm, the Ombudsman will not share your identifiable information or details about your matter without your permission. At times, the Ombudsman may need to disclose information on a limited basis to other SEC staff to address your matter and related issues. In these instances, information is shared only to the extent necessary to route and review the matter. If you wish to submit information anonymously (without your identifiable or contact information), the Ombudsman will take reasonable steps to preserve your anonymity. *Submitting anonymously may limit the Ombudsman's ability to assist you.*

The OMMS Submission Form is currently unable to be submitted using assistive technology screen readers. Please email [Ombudsman@sec.gov](mailto:Ombudsman@sec.gov) or call 202.551.3330 or 877.SEC.2001 (877.732.2001) for assistance completing the OMMS Submission Form.

*This form uses Pop-up windows. Please check your browser settings to ensure Pop-up windows are enabled.*

\* = Required Field

### ABOUT YOU

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, Organizations (SROs), individuals and/or entities regarding this Matter?  Yes, you may contact other U.S. Securities and Exchange Commission (SEC) Divisions/Offices, Self-Regulatory Organizations (SROs), individuals and/or entities regarding this Matter

Browser window showing a form on <https://oiadtest-oiadtest.cs33.force.com/OMMS/CaseInputForm>. The browser address bar also shows [insider.sec.gov](https://insider.sec.gov).

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Do You Wish to Report Anonymously? \*  Yes  No

May We Contact other U.S. Securities and Exchange Commission (SEC) Divisions/Offices, Self-Regulatory Organizations (SROs), individuals, and/or entities regarding this Matter? \*  Yes, you may contact other U.S. Securities and Exchange Commission (SEC) Divisions/Offices, Self-Regulatory Organizations (SROs), individuals and/or entities regarding this Matter  No, do not contact other U.S. Securities and Exchange Commission (SEC) Divisions/Offices, Self-Regulatory Organizations (SROs), individuals and/or entities regarding this Matter

Prefix: --None--

First Name \*

Middle Name

Last Name \*

Address

City

Country: --None--

State/Province: --None--

Zip/Postal Code

Primary Phone Number \*\*

Alternate Phone Number

Primary Email \*\*

Secondary Email

\*\* You must provide either a primary phone number or a primary email address.

**YOUR MATTER**

Is Your Matter About the U.S. Securities and Exchange Commission (SEC)? \*  Yes  No

Is Your Matter About a Self-Regulatory Organization (SRO)? \*  Yes  No

Please identify any Entity(ies) or Individual(s) involved in or related to this matter below:

Please identify any Entity(ies) or Individual(s) involved in or related to this matter below:

Entity/Individual Involved		
Entity Name <input type="text"/>	Address <input type="text"/>	Individual First Name <input type="text"/>
Entity Phone <input type="text"/>	City <input type="text"/>	Individual Last Name <input type="text"/>
Entity Website <input type="text"/>	Country <input type="text" value="--None--"/>	Job Title <input type="text"/>
	State/Province <input type="text" value="--None--"/>	Phone <input type="text"/>
	Zip/Postal Code <input type="text"/>	Fax <input type="text"/>
		Email <input type="text"/>

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What is Your Matter About?

Name of Issuer or Security

Security Ticker Symbol

Describe Your Matter in Detail

What additional documents can you provide if requested?

**HAVE YOU ALREADY:**

Contacted the SEC About This Matter? \*  Yes  No

Submitted a Tips, Complaints and Referrals (TCR) Questionnaire, Investor Inquiry Form, and/or Investor Complaint Form to the SEC relating to this  Yes  No


Investor Complaint Form to the SEC relating to this Matter?

Contacted any Self-Regulatory Organizations (SROs) Directly? \*  Yes  No

Contacted Any Other Regulators And/Or Law Enforcement Agencies Directly? \*  Yes  No

Taken Any Legal Action? \*  Yes  No

CAPTCHA is required\*

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Note: You will have the option to upload supporting documents after clicking Submit Form.

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*This collection of information has been reviewed by the Office of Management and Budget (OMB) in accordance with the clearance requirements of 44 U.S.C. §3507. The applicable Privacy Act System of Records Notice (SORN) is SEC 65 and the routine uses of the records are set forth at 76 FR 30213 (May 24, 2011). This SORN is exempt from certain sections of the Privacy Act and the citation for the rule exempting the notice is 76 FR 57636 (September 16, 2011).*

Ombudsman | U.S. Securities and Exchange Commission | 100 F Street NE | Washington, DC 20549  
202.551.3330 | toll-free 877.SEC.2001 (877.732.2001) | fax 301.847.4722  
[Ombudsman@sec.gov](mailto:Ombudsman@sec.gov) | <https://www.sec.gov/ombudsman>