



U.S. SECURITIES AND
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* = Required Field

► IMPORTANT INFORMATION

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ABOUT YOU

Are you a Retail (Individual) Investor?*

Yes No

May we contact other U.S. Securities and Exchange Commission (SEC) Division(s) or Office(s), Self-Regulatory Organizations (SROs), individuals, and/or entities regarding this matter?*

Yes No

Prefix

--None-- ▼

First Name*

Last Name*

Address

City

Country

State/Province

Zip/Postal Code

Phone Number**

Email**

** You must provide either a phone number or an 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

What is your matter about?*

Describe your matter in detail.*

▶ ADDITIONAL MATTER DETAILS

(Click To Expand)

▶ ENTITIES AND INDIVIDUALS INVOLVED

(Click To Expand)

HAVE YOU ALREADY:

Contacted the SEC about this matter?*

Yes No

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

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