



U.S. Securities and  
Exchange Commission

## OMBUDS MATTER MANAGEMENT SYSTEM (OMMS) SUBMISSION FORM

OMB Number: 3235-0748  
Expires: June 30, 2026  
Estimated average burden hours  
per response: 0.5

Thank you for contacting the Ombuds for assistance. For more information about the Office of the Ombuds and how the Ombuds may be able to assist you, please visit [sec.gov/ombuds](https://sec.gov/ombuds) (<https://sec.gov/ombuds>).


**\* = Required Field**

### IMPORTANT INFORMATION - PLEASE READ

**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/about/privacy-information> (<https://www.sec.gov/about/privacy-information>).

**DISCLAIMER:** The Ombuds generally treats matters as confidential, and takes reasonable steps to maintain the confidentiality of communications. The Ombuds also attempts to address matters without sharing information outside of the Ombuds staff, unless you give the Ombuds permission to do so. However, the Ombuds may need to contact other SEC divisions or offices, Self-Regulatory Organizations, entities, and/or individuals and share information without your permission under certain circumstances including, but not limited to: a threat of imminent risk or serious harm; assertions, complaints, or information relating to violations of the securities laws; allegations of government fraud, waste, or abuse; or as otherwise required by law.

### 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

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? \*

Select one ...



Describe your matter in detail. \*

Text input field for describing the matter in detail.

**ADDITIONAL MATTER DETAILS**

Name of issuer or security

Text input field for issuer or security name.

Security Ticker Symbol

Text input field for security ticker symbol.

What additional documents can you provide if requested?

Dropdown menu with options: Advertising or Marketing Materials, Written Materials, Emails, Notes of Conversation.

**ENTITIES AND INDIVIDUALS INVOLVED**

Please identify the entities or individuals involved in or related to this matter below:

**Entity/Individual Involved**

Entity Name

Text input field for Entity Name.

Individual First Name

Text input field for Individual First Name.

Entity Phone

Text input field for Entity Phone.

Individual Last Name

Text input field for Individual Last Name.


Entity Website

Individual Job Title

Entity Address

Individual Phone 

Entity City

Individual Fax 

Entity Country

Individual Email

Entity State/Province

Individual Address

Entity Zip/Postal Code

Individual City

Individual Country

Individual State/Province

Individual Zip/Postal Code

**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

CAPTCHA is required. \*

I'm not a robot reCAPTCHA  
Privacy - Terms

If you would like to attach documents to your submission, you may add them below. We can accept the following file types:

- Microsoft Office documents (.docx, .xls, .ppt);
- Portable Document Format (.PDF);
- Graphics Interchange Format (.GIF); and
- Joint Photographic Experts Group (.JPEG)

Personally identifiable information (PII) will not be edited from your submission. We request you only upload information relevant to your submission. 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/about/privacy-information> (<https://www.sec.gov/about/privacy-information>)

Please complete the reCAPTCHA before attempting to upload any files

**Note: Please Print this page before you click the Submit Form button if you would like to retain a copy of the information you provided. The Cancel button allows you to cancel the submission and return to [sec.gov/ombuds](https://sec.gov/ombuds) (<https://sec.gov/ombuds>), while the Clear Form button gives you the option to clear all entries made on this submission.**

*The information referenced in the OMMS Submission Form is informal and is not binding on the staff or the Commission. The information is provided as a service to investors. It is neither a legal representation nor a statement of SEC policy. SEC staff cannot act as your personal representative or attorney. For specific information*

*on protecting your particular rights, or if you feel you need a definitive legal analysis of your particular situation, it may be in your best interest to consult with an attorney who specializes in securities law.*

*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-31 and the routine uses of the records are set forth at 85 FR 85440 (January 27, 2021).*