

### WHISTLEBLOWER REFERRAL

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Pursuant to Utah Code § 6-1-103(2)(a) except as provided in Subsection (2)(b), the division, commission, or an employee of the division may not disclose information that could reasonably be expected to reveal the identity of a reporter.

#### Section I.

### **CONTACT INFORMATION\***

Last Name	First Name		Middle Initial	
Home Street Address	City		State	Zip Code
Work Street Address	City		State	Zip Code Home
Home Phone:"	18881	Work Rj qpg<		
Cell'Rj qpg<	E-	mail:		
* I wish to remain ar the name and contact inforn	nonymous. In order to nation below for your		porter Awar	rd, please provide
Name	Addr	Address		
Phone Number	Emai	 1		

# Section II.

# REFERRAL INFORMATION

Please fill out the following information to the best of your knowledge.

1. Please select the describes your reapply):		2.	Please select the type of product(s) involved in your referral (Check all that apply):
Fraudulent investment scheme, such as a Ponzi scheme or false promise of high-yield returns Unregistered securities offering General trading practices or pricing issues Manipulation of a security (e.g., stock) Insider trading Material misstatement or omission in a company's public filings or financial statements, or a failure to file Municipal securities transaction or public pension plans A specific market event or condition If your complaint does not fit in any of the categories above, please describe:		- lation:	Annuities and Insurance Products Banking and Consumer Finance Products Commodities  Debt Securities (e.g., corporate bonds, municipal bonds)  Derivatives (e.g., futures, options, swaps) Equities (e.g., common stock, preferred stock, LLC membership interest) Funds (e.g., ETFs, mutual funds, private equity funds, hedge funds) Real Estate Retirement Accounts and Products Third party custodian for self-directed IR Loans or promissory notes Other
Name	Phone Number		Role
Name	Phone Number		Role
Name	Phone Number		 Role

<u>Referral Information:</u> In your own words, briefly explain your referral. Specifically, please explain how you became aware of the issue and any other pertinent facts.

#### **FORM INSTRUCTIONS:**

If you need additional space for any of your responses, please attach additional pages and indicate to which question the additional pages relate.

<u>Please attach copies of all documents relevant to your referral.</u> These could include cancelled checks (both sides), written agreements or contracts, promissory notes, account statements, emails and other correspondence, prospectuses, sales brochures, etc.

When you have completed this form, please send it (along with any attachments) to the Division of Securities at the email address, fax number, or mailing address listed at the top of this form.

Please be advised although the Division does work to see that appropriate restitution is paid to victims of securities fraud, the Division will not act as your attorney for purposes of recovering a lost investment. Any person who has lost money as the victim of an unlawful securities transaction should immediately contact his or her personal attorney about the possibility of bringing a civil lawsuit to recover lost funds.

Specific conditions which apply to the consideration of the award, including the entire "Securities Fraud Reporting Program Act" (Utah Code 61-1-101 through 61-1-108, effective date May 10, 2011), can be found at <a href="https://le.utah.gov/xcode/Title61/Chapter1/61-1-P1.html?v=C61-1-P1">https://le.utah.gov/xcode/Title61/Chapter1/61-1-P1.html?v=C61-1-P1</a> 1800010118000101.