

Funding Portal Rule 300(c) Form (with explanations of fields)

Funding Portal Rule 300(c) Reporting Requirements – Disclosure Events

All fields marked with * are mandatory

Date: *

Funding portal members will be required to enter the date (two-digit month, day and year (MM/DD/YY)) of the submission.

Funding Portal Member Information: *

Name of the Funding Portal Member:

SEC File Number:

Funding portal members will be required to enter the firm name and the firm's SEC File Number.

Contact Person Information: *

Name:

Telephone:

Email:

Funding portal members will be required to enter the name (first and last name), telephone number and email address of the individual that should be contacted if FINRA staff has any questions regarding the submission.

Associated Person Information: *

(only complete if the disclosure relates to an associated person)

Name:

Funding portal members will be required to enter the name (first and last name) of the associated person of the funding portal member, *if any*, to which the disclosure relates. If the disclosure only relates to the funding portal member, this field should be left blank.

Disclosure Event: *

(only check one box)

- (c)(1)(A)(i) External Finding or Named in a Regulatory Proceeding
- (c)(1)(A)(ii) Written Complaint Involving Certain Allegations
- (c)(1)(A)(iii) Subject to Other Regulatory Actions
- (c)(1)(A)(iv) Criminal Actions Involving Felonies and Certain Misdemeanors
- (c)(1)(A)(v) Associated with a Financial Entity Subject to Certain Actions
- (c)(1)(A)(vi) Civil Litigation; Arbitration Matters; or Certain Claims for Damages
- (c)(1)(A)(vii) Statutory Disqualification
- (c)(1)(B) Disciplinary Action Taken by a Funding Portal Against an Associated Person
- (c)(2) Internal Conclusion

Funding portal members will be required to check the most appropriate box identifying the type of disclosure. Each checkbox corresponds to a specific paragraph in Funding Portal Rule 300(c).

Discovery Date: *

Funding portal members will be required to enter the date (two-digit month, day and year (MM/DD/YY)) that they discovered the disclosure event. For purposes of paragraphs (c)(1)(A)(i) through (c)(1)(B) of the rule, this is the date that the funding portal member knew or should have known of the disclosure event. For purposes of paragraph (c)(2) of the rule, this is the date that the funding portal member concluded or reasonably should have concluded that a reportable violation occurred.

Additional Information:
(limit ____ characters)

This is a free text field that allows funding portal members to enter any additional information that they believe is pertinent to the disclosure.