

WHISTLEBLOWING EXTERNAL DISCLOSURE FORM

The completed form must be submitted in electronic or paper format to the Department of Market Surveillance and Investigation of the Cyprus Securities and Exchange Commission ("CySEC") to the following electronic or postal address respectively:

- Electronic address: whistleblowing@cysec.gov.cy
- Postal Address: 19 Diagorou Str. 1097 Nicosia, Cyprus for the attention of the Department of Market Surveillance and Investigations

Have you made an internal disclosure within your organisation regarding this infringement?	
Yes	<input type="checkbox"/>
Why are you making this disclosure to CySEC? (you must choose at least one of the below)	
1. No information given on internal disclosure made.	<input type="checkbox"/>
2. No action taken on internal disclosure made.	<input type="checkbox"/>
No	<input type="checkbox"/> please state the reason (<i>you must choose at least one of the below</i>)
1. Members of the board of directors or senior management of the organisation are or may be involved.	<input type="checkbox"/>
2. Justified by the significance and urgency of the infringement.	<input type="checkbox"/>
3. Reasonable suspicion of discrimination.	<input type="checkbox"/>
4. Likely that evidence will disappear or be concealed or destroyed.	<input type="checkbox"/>
5. Other exceptional circumstances (if yes, please provide details).	<input type="checkbox"/>
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Please provide the following information regarding each infringement in your organization.

Whistleblower's contact information

(This section may be left blank if the whistleblower wishes to remain anonymous.)

1. Name and Surname:
2. Organisation:
3. Position:
4. Country:
5. Contact number:
6. Email address:

Reported person's information

1. Name and Surname:
2. Country:
3. Position:
4. Organisation:
5. Contact number:
6. Email address:

Witness(es) information (if any)

(If there are more than three witnesses, give their details on separate pages.)

1. Name and Surname:
2. Title:
3. Position:
4. Contact number:
5. Email address:

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4. Contact number:
5. Email address:

Disclosure of infringement

Briefly describe the infringement and how you came to know about it. If there is more than one infringement, number each infringement and use as many pages as necessary.

1. Describe the infringement:

2. Who committed the infringement?

3. When did it happen and when did you notice it?

4. Where did it happen?

5. Is there any evidence that you can provide?

You should not attempt to obtain evidence/information for which you do not have a right of access since reporting persons/whistleblowers are disclosing parties and not investigators.

6. Other parties/persons involved other than the reported person(s) stated above:

7. Any other details or information which would assist in the investigation:

8. Additional comments:

Date:

Signature:
(Optional)

For official use only

Department of Market Surveillance and Investigations

Disclosure number:

Received by:	Received on:
	Acknowledged on:
External disclosure appropriate: Yes <input type="checkbox"/> No <input type="checkbox"/> (<i>Please state reasons below:</i>) _____ _____ _____	
Update sent on:	
Investigation carried out by:	
Results of investigation:	
Actions taken/Conclusion:	
Referral to other authorities (if necessary):	

Signature: