

## APPENDIX C

<b><u>FORM FOR DRAFTING REQUESTS FOR INFORMATION</u></b>
This request is being made pursuant to the provisions of the IOSCO MOU concerning consultation and cooperation and the exchange of information.
Description of the facts underlying the investigation: <ul style="list-style-type: none"><li>➤ <i>entities/individuals involved and whether regulated or not by the Requesting Authority</i></li><li>➤ <i>type of scheme</i></li><li>➤ <i>location of investors</i></li><li>➤ <i>location of affected markets and whether regulated or not by the Requesting Authority</i></li><li>➤ <i>timeframe of the suspected misconduct</i></li><li>➤ <i>nature of the suspected misconduct</i></li><li>➤ <i>location of assets</i></li><li>➤ <i>chronology of relevant events</i></li></ul>
Describe how the information requested will assist in developing the investigation.
Description of uses for which assistance is sought, if other than in accordance with the provisions of the MOU.
Description of the information needed or assistance sought (e.g., <i>account opening documents, periodic account statements, trade confirmations, etc.</i> ).
Time period for which documents should be gathered.
Information useful for identifying the relevant documents (e.g., <i>account number, name, address, date of birth of account holder, names of entities believed to control the accounts</i> ).
Information useful for identifying the individual(s) from whom statements are needed (e.g., <i>name, address, date of birth of individual, telephone number</i> ).
Sources of information (e.g., <i>regulated individuals and entities, investors, knowledgeable insiders</i> ).

Preferred form in which information should be gathered.
Indication of wish to participate in any interview.
Special precautions.
Dates of previous requests in this matter.
Laws and regulations: <ul style="list-style-type: none"> <li>➤ <i>provisions of the securities or derivatives laws that may have been violated</i></li> <li>➤ <i>brief description of the provisions</i></li> <li>➤ <i>explanation of how the activities being investigated may have constituted violations of such provisions</i></li> </ul>
Responsibility for administering and enforcing the securities or derivatives laws.
Desired time for a reply.
Preferred manner in which information is to be transmitted ( <i>e.g., telephone, courier, e-mail, computer disk and format</i> ).
Contact information : <ul style="list-style-type: none"> <li>➤ <i>name of contact</i></li> <li>➤ <i>telephone and fax numbers</i></li> <li>➤ <i>e-mail address</i></li> </ul>
Other relevant information.