

In an SEC administrative proceeding, the party filing a written submission or any other document is responsible for serving that document on all other parties. To show compliance with this requirement, a certificate of service must be included with each filing. The certificate must state the name of the person or persons served, the date of service, the method of service, and the mailing address or email address to which service was made, if not made in person. 17 C.F.R. § 201.151(d). Please use a format similar to these examples and include the certificate of service at the end of your main document. Electronic filings may be signed with an “/s/” notation. 17 C.F.R. § 201.152(c).

### *example for email service*

#### **Certificate of Service**

In accordance with Rules of Practice 150 and 151, 17 C.F.R. §§ 201.150 & .151, I certify that a copy of [here, write the name of your document] was served on the following on [date of service], via email at the email address indicated below:

[Name of party or counsel to whom you sent your document]

[Their email address]

[Their position, such as: *Respondent Pro Se/*

*Counsel for Respondent/*

*Counsel for Division of Enforcement]*

signature

[Your name]

[Your position, such as: *Respondent Pro Se/*

*Counsel for Respondent/*

*Counsel for Division of Enforcement]*

If you are unable to serve the other parties electronically, you must file a certification explaining your inability to do so with the Office of the Secretary and serve copies of your written submissions or documents on the other parties by one of the additional methods of service listed in Rule 150(d), 17 C.F.R. § 201.150(d).

***example for alternative service***

**Certificate of Service**

In accordance with Rules of Practice 150 and 151, 17 C.F.R. §§ 201.150 & .151, I certify that a copy of [here, write the name of your document] was served on the following on [date of service], via the method of service indicated below:

[Name of party or counsel to whom you sent your document]  
[Their full address]  
[Their fax number, if applicable: (xxx) xxx-xxxx]  
[Their position, such as: *Respondent Pro Se*/  
*Counsel for Respondent*/  
*Counsel for Division of Enforcement*]

Method of Service:

[*personal service/fax transmission/U.S. Postal Service by first class, registered, or certified mail or express mail delivery/commercial courier service or express delivery service*]

\_\_\_\_\_  
*signature*  
[Your name]  
[Your position, such as: *Respondent Pro Se*/  
*Counsel for Respondent*/  
*Counsel for Division of Enforcement*]