



Tips, Complaints, and Referrals

Summary Page - Submitted Externally

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Thank you for contacting the United States Securities and Exchange Commission. This automated response confirms that your submission has been received successfully. We are always interested in hearing from the public, and your submission will be given careful consideration in view of the Commission's overall responsibilities under the federal securities laws. Please note, however, that it is the Commission's policy to conduct its investigations on a non-public basis in order to preserve the integrity of its investigative process. Subject to the provisions of the Freedom of Information Act, we cannot disclose to you any information which we may gather, nor can we confirm the existence or non-existence of an investigation, unless such information is made a matter of public record in proceedings brought before the Commission or the courts. Therefore, this may be the only response that you receive. If you want to learn more about how the Commission handles inquiries or complaints, please visit http://www.sec.gov/complaint/info_tipscomplaint.shtml.

What is your complaint about?

Q: Please select the option that best describes your complaint.

A: Material misstatement or omission in a company's public filings or financial statements, or a failure to file

Q: Please select the specific category that best describes your complaint.

A: Shareholder proposals

Q: Is this supplemental information to a previous complaint?

A: No

Q: In your own words, describe the conduct or situation you are complaining about.

A: On September 7th, 2021 Apple, Inc shareholder "Nia Impact Capital" submitted the following resolution for the 2022 Annual Apple Inc Shareholder Meeting. The statements made by Apple Inc. to response to the Shareholder Resolution introduced by Nia Impact Capital includes false & misleading statements of material importance. With the SEC's recent prioritization of enforcing ESG commitments and verifying disclosures, Apple Inc must be investigated for making false statements to its shareholders and the Securities and Exchange Commission. Apple continues to deny its now well-known and public issues with discrimination, retaliation, work conditions,



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labor compliance, and intimidation of employees. Apple's response ignored the numerous open government investigations into its labor practices and the active use of over-broad confidentiality agreement to terminate employees speaking out about labor conditions and/or reporting unlawful activity by Apple to authorities. As the SEC itself noted in September of last year, that allowing companies to decide what information is material to disclosures related to diversity often results in "woke-washing where companies attempt to portray themselves in a light they believe will be advantageous for them on issues like diversity. A disclosure regime that allows companies to decide if or what to disclose in this area can certainly exacerbate that problem." Herren Lee argues that SEC disclosures get investors the information they need to make investment decisions based on their own judgment of what indicators matter for long-term value. Further the SEC in its April 2021 ESG Risk Alert memo noted that investor demand for investment products and financial services that incorporate environmental, social, and governance ("ESG") factors has increased in recent years. The memo cites examples of deficiencies and internal control weaknesses around ESGs including "inconsistencies between actual firm practices and ESG-related disclosures and marketing materials because of a weakness in controls over public disclosures and client/investor-facing statements." This is a weakness Apple is actively trying to exploit. Further the SEC noted another deficiency is companies lacking policies and procedures addressing their ESG decision-making processes or compliance review and oversight. Apple has the audacity to ask the SEC to block a shareholder vote simply requiring transparency to the companies ESG oversight and decision making process. Here, Apple Inc not only made clearly false and misleading statements about it's employee policies, but it is fighting to even allow a shareholder vote that would simply require a public report to be published about the risks of employee policies which prohibit or chill employee ability to discuss unlawful acts in the workplace. Apple is fighting its own shareholders to vote on a request for them to publish a policy explaining the risks of prohibiting employees from reporting crimes while Apple is under numerous investigations for labor violations and subject to multiple civil lawsuits over employment law violations, and only a few years after a DOJ anti-trust finding against it for a conspiracy to suppress wages. Apple's response & corporate behavior are completely unacceptable for a publicly traded company. Please see attached memo (SEC - Oct 26 Filing - Gjovik Memo) for additional details.

Q: Are you having or have you had difficulty getting access to your funds or securities?

A: Unknown

Q: When did you become aware of the conduct? (mm/dd/yyyy)

A: 10/25/2021

Q: Is the conduct ongoing?

A: Yes

Q: Has the individual or firm acknowledged the conduct?

A: Unknown



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Q: How did you learn about the conduct? You may select more than one answer.

A: Conversations; SEC filings

Q: Have you taken any action regarding your complaint? You may select more than one answer.

A: Complained to other regulator

Q: Provide details.

A: I mentioned my concerns about Apple's statements to the NLRB today when I was talking to the investigator about my pending NLRB charges.

Who are you complaining about?

Subject # 1

Q: Are you complaining about a person or a firm?

A: Firm

Q: Select the title that best describes the person or firm that you are complaining about.

A: Publicly held company

Q: Are you or were you associated with the person or firm when the alleged conduct occurred?

A: No

Q: Identifier Type

A: Ticker Symbol

Q: Ticker Symbol

A: AAPL



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Q: Are you a current or former Employee, Officer, Partner, or Employee Director of any entity you are complaining about?

A: Yes

Q: Check all that apply.

A: Employee

Q: Are you a current or former Non-Employee Director, Consultant, Contractor or Trustee of any entity you are complaining about?

A: No

Q: Firm Name

A: APPLE INC

Q: Street Address

A: 1 Apple Park Way

Q: Zip / Postal Code

A: 95014

Q: City

A: CUPERTINO

Q: State / Province

A: CA

Q: Country

A: US



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Q: Website

A: apple.com

Q: If the complaint is about an entity or person that has custody or control of your investments, have you had difficulty contacting that entity or person?

A: Unknown

Which investment products are involved?

Q: Select the type of product involved in your complaint.

A: Equities (e.g., common stock, preferred stock)

Q: Please select the category that best describes the security product.

A: Common stock (exchange-traded stock)

Q: Enter the ticker symbol, if known.

A: AAPL

About you

Submitter # 1

Q: Are you filing this tip under the SEC's whistleblower program?

A: Yes

Q: Are you an attorney filling out this form on behalf of an anonymous whistleblower client who is seeking an award?

A: No



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Q: Title

A: Ms

Q: First Name

A: Ashley

Q: Middle Name

A: Marie

Q: Last Name

A: Gjovik

Q: Street Address

A: 1050 Benton Street 2310

Q: Zip / Postal Code

A: 95050

Q: City

A: SANTA CLARA

Q: State / Province

A: CA

Q: Country

A: US



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Q: Home Telephone

A: 4159646272

Q: Email Address

A: ashleymgjovik@protonmail.com

Q: What is the best way to reach you?

A: Email

Q: Are you represented by an attorney in connection with this matter, or would you like to provide your attorney's contact information?

A: No

Q: Select the profession that best represents you.

A: Student

Q: Have you reported the matter at issue in this submission to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism for reporting possible violations at any entity you are complaining about?

A: No

Q: Were you retaliated against for reporting the matter at issue in this submission either internally at the entity or to a regulator?

A: No

Q: Has anyone taken steps to prevent you from reporting this violation to the SEC?

A: No

Q: Are documents or other information being submitted that could potentially identify the whistleblower?



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A: Yes

Q: Identify with particularity any documents or other information in your submission that you believe could reasonably be expected to reveal your identity.

A: Yes - anything with my name on it.

Q: Does the whistleblower want to be eligible to apply for a whistleblower award?

A: Yes

Q: 1. Are you, or were you at the time you acquired the original information you are submitting to us, a member, officer or employee of the Department of Justice; the Securities and Exchange Commission; the Comptroller of the Currency; the Board of Governors of the Federal Reserve System; the Federal Deposit Insurance Corporation; the Office of Thrift Supervision; the Public Company Accounting Oversight Board; any law enforcement organization; or any national securities exchange, registered securities association, registered clearing agency, or the Municipal Securities Rulemaking Board?

A: No

Q: 2. Are you, or were you at the time you acquired the original information you are submitting to us, a member, officer, or employee of a foreign government, any political subdivision, department, agency, or instrumentality of a foreign government, or any other foreign financial regulatory authority as that term is defined in Section 3(a)(52) of the Securities Exchange Act of 1934 (15 U.S.C. Section 78c(a)(52))?

A: No

Q: 3. Did you acquire the information being submitted to us through the performance of an engagement required under the federal securities laws by an independent public accountant?

A: No

Q: 4. Are you providing this information pursuant to a cooperation agreement with the SEC or another agency or organization?

A: No

Q: 5. Are you a spouse, parent, child, or sibling of a member or employee of the SEC, or do you reside in the same household as a member or employee of the SEC?



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A: No

Q: 6. Have you or anyone representing you received any request, inquiry or demand that relates to the subject matter of your submission (i) from the SEC; (ii) in connection with an investigation, inspection or examination by the Public Company Accounting Oversight Board, or any self-regulatory organization; or (iii) in connection with an investigation by Congress, any other authority of the federal government, or a state Attorney General or securities regulatory authority?

A: No

Q: 7. Are you currently a subject or target of a criminal investigation, or have you been convicted of a criminal violation, in connection with the information you are submitting to the SEC?

A: No

Q: 8. Did you acquire the information being provided to us from any person described in Questions 1 through 7?

A: No

Q: I declare under penalty of perjury under the laws of the United States that the information contained herein is true, correct and complete to the best of my knowledge, information, and belief. I fully understand that I may be subject to prosecution and ineligible for a whistleblower award if, in my submission of information, my other dealings with the SEC, or my dealings with another authority in connection with a related action, I knowingly and willfully make any false, fictitious, or fraudulent statements or representations, or use any false writing or document knowing that the writing or document contains any false, fictitious, or fraudulent statement or entry.

A: Agree



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Documents

Document Name	Document Type
Apple Resolution _ Nia Impact Capital.pdf	application/pdf
SEC - Oct 26 Filing - Gjovik Memo.pdf	application/pdf
niaapple101821-14a8-incoming 2.pdf	application/pdf
NLRB 501_3-21 - Apple Handbook - FINAL - No Policies.pdf	application/pdf
NLRB 501_3-21 - Tim Cook Memo - FINAL.pdf	application/pdf
CA DOL DIR - INVESTIGATION.pdf	application/pdf
Signed+Charge+of+Discrimination.pdf	application/pdf