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**UNITED STATES DISTRICT COURT
DISTRICT OF NEW JERSEY**

**SECURITIES AND EXCHANGE
COMMISSION,**

Plaintiff,

-against-

**SIDDHI PATEL,
AS ADMINISTRATOR OF THE
ESTATE OF CHIRAYU VIJAY
PATEL (DECEASED),**

Defendant.

COMPLAINT

2:26-cv-13587 ()

**JURY TRIAL
DEMANDED**

Plaintiff Securities and Exchange Commission (“Commission”), 100 Pearl Street, Suite 20-100, New York, NY 10004-2616, for its Complaint against Defendant Siddhi Patel, as Administrator of the Estate of Chirayu Vijay Patel

(Deceased) (the “Patel Estate” or “Defendant”), last known to be residing at 26 Arbor Circle, Edison, New Jersey 08837, alleges as follows:

SUMMARY OF ALLEGATIONS

1. This action arises from a securities offering fraud that Chirayu Vijay Patel (“Patel”) conducted from at least June 2020 to December 2025 (the “Relevant Period”), in which he misled over 40 investors about the performance and security of their investments and misappropriated investor funds to pay for his personal expenses.

2. In total, investors provided approximately \$10 million to Patel between around July 2020 and November 2025. Of that amount, Patel misappropriated approximately \$1.2 million for personal expenses, returned approximately \$1.5 million to some investors through Ponzi-like payments, and lost over \$7 million primarily through trading index and equity options and individual equities.

3. Throughout the scheme, Patel provided investors with false and misleading account statements and false rates of return, leading them to believe that he was generating profits when in fact he had lost or misappropriated nearly all of their money.

4. In or around June 2020, Patel began soliciting investments with the promise that investors would receive fixed returns of 6% per year. His early

trading of investor funds generated substantial profits, but starting in 2021 he shifted to sizeable equity options trades that produced mounting monthly mark-to-market losses, which he tried to recoup by making increasingly aggressive trades.

5. In or around October 2021, Patel began soliciting additional investments in a purported new offering that he described as having a higher risk-return profile and target returns of 20% per year. He pooled funds from both offerings together and continued making concentrated, higher risk trades that generated additional losses.

6. To sustain the scheme, Patel used investor funds to make Ponzi-like payments to earlier investors and misappropriated other investor funds for personal expenses, all while continuing to provide false account statements and rates of return, and soliciting new investments.

VIOLATIONS

7. By virtue of the foregoing conduct and as alleged further herein, Patel has violated Section 17(a) of the Securities Act of 1933 (“Securities Act”) [15 U.S.C. § 77q(a)], Section 10(b) of the Securities Exchange Act of 1934 (“Exchange Act”) [15 U.S.C. § 78j(b)], and Rule 10b-5 thereunder [17 C.F.R. § 240.10b-5].

NATURE OF THE PROCEEDINGS AND RELIEF SOUGHT

8. The Commission brings this action pursuant to the authority conferred upon it by Securities Act Section 20(b) [15 U.S.C. § 77t(b)] and Exchange Act Section 21(d) [15 U.S.C. §§ 78u(d)].

9. The Commission seeks a final judgment: (a) ordering the Patel Estate to disgorge ill-gotten gains that Patel received as a result of the violations alleged herein and to pay prejudgment interest thereon, pursuant to Exchange Act Sections 21(d)(3), 21(d)(5) and 21(d)(7) [15 U.S.C. §§ 78u(d)(3), 78u(d)(5), and 78u(d)(7)]; and (b) ordering any other and further relief the Court may deem just and proper.

JURISDICTION AND VENUE

10. This Court has jurisdiction over this action pursuant to 28 U.S.C. § 1331, Securities Act Section 22(a) [15 U.S.C. § 77v(a)], and Exchange Act Section 27 [15 U.S.C. § 78aa].

11. Patel, directly and indirectly, has made use of the means or instrumentalities of interstate commerce or of the mails and wires in connection with the transactions, acts, practices, and courses of business alleged herein.

12. Venue lies in this District under 28 U.S.C. § 1391(b), Securities Act Section 22(a) [15 U.S.C. § 77v(a)], and Section 27 of the Exchange Act [15 U.S.C. § 78aa]. Certain of the acts, practices, transactions, and courses of business alleged in this Complaint occurred within this District. Patel resided in New Jersey and

was present in this District when he offered the securities and engaged in the conduct alleged herein, and many of the investors also resided in New Jersey at the time of their investments.

DEFENDANT

13. The Patel Estate is the successor-in-interest to Patel, who died at age 41 on April 3, 2026, and was, at all relevant times, a resident of Edison, New Jersey. Siddhi Patel is the Administrator of the Patel Estate. Patel was employed as an analyst at a financial firm between 2006 and 2020. In 2020, Patel founded the Rakani Capital Target Return Fund LLC (“Rakani Fund”) and Rakani Capital LLC (“Rakani Capital”) and served as the Chief Executive Officer and ultimate owner of both entities.

OTHER RELEVANT ENTITIES

14. **Rakani Fund** is a limited liability corporation incorporated in Delaware on May 22, 2020, with a principal place of business in Plainsboro, New Jersey. Patel wholly owned Rakani Capital, which served as Rakani Fund’s manager.

15. **Rakani Capital** is a limited liability corporation incorporated in Delaware on May 22, 2020, with a principal place of business in Plainsboro, New Jersey. Rakani Capital wholly owned Rakani Fund.

FACTS

I. THE SECURITIES OFFERINGS

16. In May 2020, Patel formed the Rakani Fund and Rakani Capital and opened bank and securities trading accounts in their names.

17. He owned and controlled both entities and, around that time, began soliciting investments primarily from friends and family.

18. Patel offered investors quarterly payments equal to 6% annual interest, plus full repayment of principal within ten years (the “6% Notes Offering”).

19. The offering materials Patel provided investors included a private placement memorandum (“PPM”), a promissory note, and a subscription agreement. The PPM described an offering of up to \$100 million in Rakani Fund notes bearing 6% annual interest, paid quarterly, maturing in 2030, and redeemable by investors on 30 days’ written notice.

20. Thirty-four investors, some investing jointly with a spouse, invested more than \$4.7 million in the 6% Notes Offering.

21. In or around October 2021, Patel began soliciting investments in a second offering, in which investors purchased units in the Rakani Fund (the “Units Offering”). Patel marketed the Units Offering to earlier 6% Notes Offering

investors as carrying a higher return-risk profile and targeting annual returns of 20%.

22. Twenty-eight investors, some investing jointly with a spouse, invested more than \$5.2 million in the Units Offering, and fifteen of them also invested in the 6% Notes Offering.

II. PATEL POOLED INVESTOR FUNDS AND LOST THEM THROUGH TRADING

23. Although Patel represented the 6% Notes Offering and the Units Offering as distinct investments with different risk profiles and strategies, he commingled all funds from both offerings in a single brokerage account and traded them identically, regardless of which offering an investor had subscribed to.

24. Patel generated trading profits for a brief period in late 2020. He then shifted to a heavily options-based trading strategy. That strategy erased the earlier gains and produced mounting losses.

25. In January 2021 alone, the account's options positions showed mark-to-market losses of more than \$778,000. In August 2021, Patel's trading in Nasdaq-100 index options lost over \$700,000 in a single month. From June 2020 through December 2025, the account's total mark-to-market losses exceeded \$7 million.

26. In March 2025, the custodian holding the trading account informed Patel it was closing the account following a compliance review. Patel transferred

the remaining funds to a new custodian and continued trading in a similar manner through the end of 2025. By December 2025, after additional losses of more than \$300,000, approximately \$423,000 in investor funds remained.

III. PATEL'S FALSE AND MISLEADING STATEMENTS

27. Although the Rakani Fund was losing money through the Relevant Period, Patel provided investors with quarterly account statements and notices of interest payments falsely representing that their investments were secure and that the Fund was performing well, including at or above the 6% rate of return promised to the 6% Notes Offering investors.

28. Investors who elected to reinvest their interest received statements showing that the interest had been added to their principal, along with separate notices confirming the reinvestment.

29. The representations in the account statements and notices were false. At most quarter-ends, the Fund's assets were worth far less than what it owed investors, and there were insufficient returns to fund any investment payment, reinvested or otherwise.

30. The account statements for 6% Notes Offering investors also reported a "liquidation value"—original principal plus purported additions and accrued interest—representing the amount an investor would receive upon redemption.

31. That misrepresentation was misleading because, as Patel knew or recklessly disregarded from his control of the brokerage accounts and trading, the Fund generally did not have sufficient assets to pay investors that amount.

32. Beginning in at least 2022, Patel made false claims to existing and prospective investors to induce new and additional investment. In a July 2022 podcast he shared with investors, Patel claimed the Fund had a two-year track record of paying investors more than required and maintained an “equity buffer” to meet its obligations. At the time, the Fund’s brokerage account held less than \$500.

33. That fall, Patel gave prospective investors “Fact Sheets” reporting a “Size of Fund” of \$7.4 million for the 6% Notes Offering and \$5.6 million for the Units Offering. At the time, the same account held less than \$500.

34. Beginning in 2024, Patel operated a website depicting investors’ “Total Portfolio Value” rising from roughly \$290,000 in 2022 to nearly \$19 million by 2026, a trajectory with no basis given the Fund’s actual trading losses.

35. The 6% Notes Offering PPM imposed two disclosure duties on Rakani Capital as Fund manager. First, it required Rakani Capital to obtain annual audited financial statements and make them available to investors. Second, it required the Fund to notify investors in writing within three business days whenever its liabilities exceeded its assets.

36. Patel obtained audited statements for 2020 through 2023 but gave investors only the 2020 statement. He withheld the statements for 2021 through 2023, which showed large net losses and, for 2022 and 2023, included going-concern warnings. He did not obtain any audited statements for 2024 or 2025. The unaudited statements the Fund prepared for those years also showed significant losses, and Patel never disclosed them.

37. Although the Fund's liabilities exceeded its assets throughout the Relevant Period, Patel never sent investors a shortfall notice.

38. Patel had sole access to and trading authority over the brokerage accounts holding investor funds. He alone prepared, or directed the preparation of, the account statements, interest notices, Fact Sheets, podcast statements, and website content described above. He therefore knew, or was reckless in not knowing, that each of these representations was false.

IV. MISAPPROPRIATION AND PONZI-LIKE PAYMENTS

39. Investors gave Patel approximately \$10 million between 2020 and 2025. Patel misappropriated about \$1.2 million of that money for personal expenses. He used another \$1.5 million to make Ponzi-like payments to earlier investors, paying them with money raised from later investors. He lost the remaining approximately \$7 million through trading, as described above.

40. The offering documents allowed Rakani Capital only two kinds of compensation from the Fund. It could be reimbursed for certain operating expenses, and it could receive a performance incentive, but only if the Fund met specified performance thresholds. Neither Patel nor Rakani Capital ever calculated or requested a performance incentive.

41. Beyond those authorized payments for operating expenses, Patel spent approximately \$1.2 million on personal expenses unrelated to running the Fund, including his personal credit card bills and online gambling losses. The offering documents did not allow him to use investor money this way, and he never disclosed to investors that he was doing it.

42. The Rakani Fund never earned the returns Patel promised. Instead, he took money from newer investors in both the 6% Notes Offering and the Units Offering and used it to pay earlier investors in both offerings. These Ponzi-like payments totaled about \$1.5 million between 2020 and 2025. Patel never disclosed to investors that the payments they received came from other investors' money rather than from actual investment returns.

FIRST CLAIM FOR RELIEF
Violations of Section 17(a) of the Securities Act

43. The Commission re-alleges and incorporates by reference here the allegations in paragraphs 1 through 42.

44. Patel, directly or indirectly, singly or in concert, in the offer or sale of securities and by the use of the means or instruments of transportation or communication in interstate commerce or the mails, (1) knowingly or recklessly has employed one or more devices, schemes or artifices to defraud, (2) knowingly, recklessly, or negligently has obtained money or property by means of one or more untrue statements of a material fact or omissions of a material fact necessary in order to make the statements made, in light of the circumstances under which they were made, not misleading, and/or (3) knowingly, recklessly, or negligently has engaged in one or more transactions, practices, or courses of business which operated or would operate as a fraud or deceit upon the purchaser.

45. By reason of the foregoing, Patel, directly or indirectly, singly or in concert, violated Section 17(a) of the Securities Act [15 U.S.C. § 77q(a)].

SECOND CLAIM FOR RELIEF
Violations of Section 10(b) of the Exchange Act and Rule 10b-5 Thereunder

46. The Commission re-alleges and incorporates by reference here the allegations in paragraphs 1 through 42.

47. Patel, directly or indirectly, singly or in concert, in connection with the purchase or sale of securities and by use of means or instrumentalities of interstate commerce, or the mails, or the facilities of a national securities exchange, knowingly or recklessly has (i) employed one or more devices, schemes, or artifices to defraud, (ii) made one or more untrue statements of a material fact or

omitted to state one or more material facts necessary in order to make the statements made, in light of the circumstances under which they were made, not misleading; and/or (iii) engaged in one or more acts, practices, or courses of business which operated or would operate as a fraud or deceit upon other persons.

48. By reason of the foregoing, Patel, directly or indirectly, singly or in concert, have violated Section 10(b) of the Exchange Act [15 U.S.C. § 78j(b)] and Rule 10b-5 thereunder [17 C.F.R. § 240.10b-5]

PRAYER FOR RELIEF

WHEREFORE, the Commission respectfully requests that the Court enter a Final Judgment:

I.

Ordering the Patel Estate to disgorge all ill-gotten gains Patel received directly or indirectly, with pre-judgment interest thereon, as a result of the alleged violations, pursuant to Exchange Act Sections 21(d)(3), 21(d)(5) and 21(d)(7) [15 U.S.C. §§ 78u(d)(3), 78u(d)(5) and 78u(d)(7)]; and

II.

Granting any other and further relief this Court may deem just and proper.

JURY DEMAND

The Commission demands a trial by jury.

Dated: New York, New York
October 19, 2026

/s/ Christopher M. Colorado
Sheldon Pollock
Lindsay Moilanen
Michael Ellis
Christopher M. Colorado
Attorneys for Plaintiff
SECURITIES AND EXCHANGE
COMMISSION
New York Regional Office
100 Pearl Street, Suite 20-100
New York, NY 10004-2616
T: (212) 336-9143 (Colorado)
Email: coloradoch@sec.gov

LOCAL RULE 11.2 CERTIFICATION

Pursuant to Local Rule 11.2, I certify that the matter in controversy alleged against the Defendant in the foregoing Complaint is not the subject of any other civil action pending in any court, or of any pending arbitration or administrative proceeding.

Dated: October 19, 2026

/s/ Christopher M. Colorado
Christopher M. Colorado
Attorney for Plaintiff
Securities and Exchange
Commission
New York Regional Office
100 Pearl Street, Suite 20-100
New York, NY 10004-2616
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Email: coloradoch@sec.gov

DESIGNATION OF AGENT FOR SERVICE

Pursuant to Local Civil Rule 101.1(f), the undersigned hereby designates the United States Attorney's Office for the District of New Jersey to receive service of all notices or papers in this action at the following address:

David E. Dauenheimer
Deputy Chief, Health Care Fraud and Opioids Enforcement Unit
United States Attorney's Office
District of New Jersey
970 Broad Street, Suite 700
Newark, NJ 07102
(973) 645-2925
Email: david.dauenheimer2@usdoj.gov

Dated: October 19, 2026

SECURITIES AND EXCHANGE
COMMISSION

/s/ Christopher M. Colorado
Christopher M. Colorado
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Email: coloradoch@sec.gov

CIVIL COVER SHEET

The JS 44 civil cover sheet and the information contained herein neither replace nor supplement the filing and service of pleadings or other papers as required by law, except as provided by local rules of court. This form, approved by the Judicial Conference of the United States in September 1974, is required for the use of the Clerk of Court for the purpose of initiating the civil docket sheet. (SEE INSTRUCTIONS ON NEXT PAGE OF THIS FORM.)

I. (a) PLAINTIFFS

U.S. Securities and Exchange Commission

(b) County of Residence of First Listed Plaintiff _____
(EXCEPT IN U.S. PLAINTIFF CASES)

(c) Attorneys (Firm Name, Address, and Telephone Number)

Sheldon Pollock, Christopher Colorado, Lindsay Moilanen, Michael Ellis
(Securities and Exchange Commission, 100 Pearl St., Ste. 20-100, New York,
NY, 212-336-9143 (Colorado))

DEFENDANTS

Siddhi Patel, as Administrator of the Estate of Chirayu Vijay Patel (Deceased)

County of Residence of First Listed Defendant Middlesex
(IN U.S. PLAINTIFF CASES ONLY)

NOTE: IN LAND CONDEMNATION CASES, USE THE LOCATION OF
THE TRACT OF LAND INVOLVED.

Attorneys (If Known)

Derrelle Janey (Olshan Frome Wolosky LLP, 1325 Avenue of the
Americas, 212-451-2269)

II. BASIS OF JURISDICTION (Place an "X" in One Box Only)

- ☒ 1 U.S. Government Plaintiff ☐ 3 Federal Question (U.S. Government Not a Party)
- ☐ 2 U.S. Government Defendant ☐ 4 Diversity (Indicate Citizenship of Parties in Item III)

III. CITIZENSHIP OF PRINCIPAL PARTIES (Place an "X" in One Box for Plaintiff and One Box for Defendant)

- | | PTF | DEF | | PTF | DEF |
|---|----------------------------|----------------------------|---|----------------------------|----------------------------|
| Citizen of This State | ☐ 1 | ☐ 1 | Incorporated or Principal Place of Business In This State | ☐ 4 | ☐ 4 |
| Citizen of Another State | ☐ 2 | ☐ 2 | Incorporated and Principal Place of Business In Another State | ☐ 5 | ☐ 5 |
| Citizen or Subject of a Foreign Country | ☐ 3 | ☐ 3 | Foreign Nation | ☐ 6 | ☐ 6 |

IV. NATURE OF SUIT (Place an "X" in One Box Only)Click here for: [Nature of Suit Code Descriptions.](#)

CONTRACT	TORTS	FORFEITURE/PENALTY	BANKRUPTCY	OTHER STATUTES
☐ 110 Insurance ☐ 120 Marine ☐ 130 Miller Act ☐ 140 Negotiable Instrument ☐ 150 Recovery of Overpayment & Enforcement of Judgment ☐ 151 Medicare Act ☐ 152 Recovery of Defaulted Student Loans (Excludes Veterans) ☐ 153 Recovery of Overpayment of Veteran's Benefits ☐ 160 Stockholders' Suits ☐ 190 Other Contract ☐ 195 Contract Product Liability ☐ 196 Franchise	PERSONAL INJURY ☐ 310 Airplane ☐ 315 Airplane Product Liability ☐ 320 Assault, Libel & Slander ☐ 330 Federal Employers' Liability ☐ 340 Marine ☐ 345 Marine Product Liability ☐ 350 Motor Vehicle ☐ 355 Motor Vehicle Product Liability ☐ 360 Other Personal Injury ☐ 362 Personal Injury - Medical Malpractice PERSONAL INJURY ☐ 365 Personal Injury - Product Liability ☐ 367 Health Care/ Pharmaceutical Personal Injury Product Liability ☐ 368 Asbestos Personal Injury Product Liability PERSONAL PROPERTY ☐ 370 Other Fraud ☐ 371 Truth in Lending ☐ 380 Other Personal Property Damage ☐ 385 Property Damage Product Liability	☐ 625 Drug Related Seizure of Property 21 USC 881 ☐ 690 Other LABOR ☐ 710 Fair Labor Standards Act ☐ 720 Labor/Management Relations ☐ 740 Railway Labor Act ☐ 751 Family and Medical Leave Act ☐ 790 Other Labor Litigation ☐ 791 Employee Retirement Income Security Act IMMIGRATION ☐ 462 Naturalization Application ☐ 465 Other Immigration Actions	☐ 422 Appeal 28 USC 158 ☐ 423 Withdrawal 28 USC 157 INTELLECTUAL PROPERTY RIGHTS ☐ 820 Copyrights ☐ 830 Patent ☐ 835 Patent - Abbreviated New Drug Application ☐ 840 Trademark ☐ 880 Defend Trade Secrets Act of 2016 SOCIAL SECURITY ☐ 861 HIA (1395ff) ☐ 862 Black Lung (923) ☐ 863 DIWC/DIWW (405(g)) ☐ 864 SSID Title XVI ☐ 865 RSI (405(g)) FEDERAL TAX SUITS ☐ 870 Taxes (U.S. Plaintiff or Defendant) ☐ 871 IRS—Third Party 26 USC 7609	☐ 375 False Claims Act ☐ 376 Qui Tam (31 USC 3729(a)) ☐ 400 State Reapportionment ☐ 410 Antitrust ☐ 430 Banks and Banking ☐ 450 Commerce ☐ 460 Deportation ☐ 470 Racketeer Influenced and Corrupt Organizations ☐ 480 Consumer Credit (15 USC 1681 or 1692) ☐ 485 Telephone Consumer Protection Act ☐ 490 Cable/Sat TV ☒ 850 Securities/Commodities/Exchange ☐ 890 Other Statutory Actions ☐ 891 Agricultural Acts ☐ 893 Environmental Matters ☐ 895 Freedom of Information Act ☐ 896 Arbitration ☐ 899 Administrative Procedure Act/Review or Appeal of Agency Decision ☐ 950 Constitutionality of State Statutes
REAL PROPERTY ☐ 210 Land Condemnation ☐ 220 Foreclosure ☐ 230 Rent Lease & Ejectment ☐ 240 Torts to Land ☐ 245 Tort Product Liability ☐ 290 All Other Real Property	CIVIL RIGHTS ☐ 440 Other Civil Rights ☐ 441 Voting ☐ 442 Employment ☐ 443 Housing/Accommodations ☐ 445 Amer. w/Disabilities - Employment ☐ 446 Amer. w/Disabilities - Other ☐ 448 Education PRISONER PETITIONS Habeas Corpus: ☐ 463 Alien Detainee ☐ 510 Motions to Vacate Sentence ☐ 530 General ☐ 535 Death Penalty Other: ☐ 540 Mandamus & Other ☐ 550 Civil Rights ☐ 555 Prison Condition ☐ 560 Civil Detainee - Conditions of Confinement			

V. ORIGIN (Place an "X" in One Box Only)

- ☒ 1 Original Proceeding ☐ 2 Removed from State Court ☐ 3 Remanded from Appellate Court ☐ 4 Reinstated or Reopened ☐ 5 Transferred from Another District (specify) ☐ 6 Multidistrict Litigation - Transfer ☐ 8 Multidistrict Litigation - Direct File

VI. CAUSE OF ACTION

Cite the U.S. Civil Statute under which you are filing (Do not cite jurisdictional statutes unless diversity):

15 U.S.C. § 77q(a), 15 U.S.C. § 78j(b), 17 C.F.R. § 240.10b-5

Brief description of cause:

Securities Fraud

VII. REQUESTED IN COMPLAINT:

☐ CHECK IF THIS IS A CLASS ACTION UNDER RULE 23, F.R.Cv.P. **DEMAND \$**

CHECK YES only if demanded in complaint:

JURY DEMAND: ☒ Yes ☐ No**VIII. RELATED CASE(S) IF ANY**

(See instructions):

JUDGE _____

DOCKET NUMBER _____

DATE

10/19/2026

SIGNATURE OF ATTORNEY OF RECORD

/s/ Christopher M. Colorado

FOR OFFICE USE ONLY

RECEIPT # _____ AMOUNT _____ APPLYING IFP _____ JUDGE _____ MAG. JUDGE _____

INSTRUCTIONS FOR ATTORNEYS COMPLETING CIVIL COVER SHEET FORM JS 44**Authority For Civil Cover Sheet**

The JS 44 civil cover sheet and the information contained herein neither replaces nor supplements the filings and service of pleading or other papers as required by law, except as provided by local rules of court. This form, approved by the Judicial Conference of the United States in September 1974, is required for the use of the Clerk of Court for the purpose of initiating the civil docket sheet. Consequently, a civil cover sheet is submitted to the Clerk of Court for each civil complaint filed. The attorney filing a case should complete the form as follows:

- I.(a) Plaintiffs-Defendants.** Enter names (last, first, middle initial) of plaintiff and defendant. If the plaintiff or defendant is a government agency, use only the full name or standard abbreviations. If the plaintiff or defendant is an official within a government agency, identify first the agency and then the official, giving both name and title.
 - (b) County of Residence.** For each civil case filed, except U.S. plaintiff cases, enter the name of the county where the first listed plaintiff resides at the time of filing. In U.S. plaintiff cases, enter the name of the county in which the first listed defendant resides at the time of filing. (NOTE: In land condemnation cases, the county of residence of the "defendant" is the location of the tract of land involved.)
 - (c) Attorneys.** Enter the firm name, address, telephone number, and attorney of record. If there are several attorneys, list them on an attachment, noting in this section "(see attachment)".
- II. Jurisdiction.** The basis of jurisdiction is set forth under Rule 8(a), F.R.Cv.P., which requires that jurisdictions be shown in pleadings. Place an "X" in one of the boxes. If there is more than one basis of jurisdiction, precedence is given in the order shown below.
- United States plaintiff. (1) Jurisdiction based on 28 U.S.C. 1345 and 1348. Suits by agencies and officers of the United States are included here. United States defendant. (2) When the plaintiff is suing the United States, its officers or agencies, place an "X" in this box.
- Federal question. (3) This refers to suits under 28 U.S.C. 1331, where jurisdiction arises under the Constitution of the United States, an amendment to the Constitution, an act of Congress or a treaty of the United States. In cases where the U.S. is a party, the U.S. plaintiff or defendant code takes precedence, and box 1 or 2 should be marked.
- Diversity of citizenship. (4) This refers to suits under 28 U.S.C. 1332, where parties are citizens of different states. When Box 4 is checked, the citizenship of the different parties must be checked. (See Section III below; **NOTE: federal question actions take precedence over diversity cases.**)
- III. Residence (citizenship) of Principal Parties.** This section of the JS 44 is to be completed if diversity of citizenship was indicated above. Mark this section for each principal party.
- IV. Nature of Suit.** Place an "X" in the appropriate box. If there are multiple nature of suit codes associated with the case, pick the nature of suit code that is most applicable. Click here for: [Nature of Suit Code Descriptions](#).
- V. Origin.** Place an "X" in one of the seven boxes.
- Original Proceedings. (1) Cases which originate in the United States district courts.
- Removed from State Court. (2) Proceedings initiated in state courts may be removed to the district courts under Title 28 U.S.C., Section 1441.
- Remanded from Appellate Court. (3) Check this box for cases remanded to the district court for further action. Use the date of remand as the filing date.
- Reinstated or Reopened. (4) Check this box for cases reinstated or reopened in the district court. Use the reopening date as the filing date.
- Transferred from Another District. (5) For cases transferred under Title 28 U.S.C. Section 1404(a). Do not use this for within district transfers or multidistrict litigation transfers.
- Multidistrict Litigation – Transfer. (6) Check this box when a multidistrict case is transferred into the district under authority of Title 28 U.S.C. Section 1407.
- Multidistrict Litigation – Direct File. (8) Check this box when a multidistrict case is filed in the same district as the Master MDL docket. **PLEASE NOTE THAT THERE IS NOT AN ORIGIN CODE 7.** Origin Code 7 was used for historical records and is no longer relevant due to changes in statute.
- VI. Cause of Action.** Report the civil statute directly related to the cause of action and give a brief description of the cause. **Do not cite jurisdictional statutes unless diversity.** Example: U.S. Civil Statute: 47 USC 553 Brief Description: Unauthorized reception of cable service.
- VII. Requested in Complaint.** Class Action. Place an "X" in this box if you are filing a class action under Rule 23, F.R.Cv.P.
- Demand. In this space enter the actual dollar amount being demanded or indicate other demand, such as a preliminary injunction.
- Jury Demand. Check the appropriate box to indicate whether or not a jury is being demanded.
- VIII. Related Cases.** This section of the JS 44 is used to reference related cases, if any. If there are related cases, insert the docket numbers and the corresponding judge names for such cases.

Date and Attorney Signature. Date and sign the civil cover sheet.