



U.S. Securities and
Exchange Commission

Tips, Complaints, and Referrals

Summary Page - After Submission

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The Complaint Form questions that you responded to, the answers you entered for those questions, and any documents that you have uploaded to this TCR are listed below.

Submission Number: 17873-733-718-507

Thank you for contacting the United States Securities and Exchange Commission. This automated response with your Submission Number confirms that your submission has been received successfully. Please write down your Submission Number or print/save a copy of your submission for future reference. Once you navigate away from this page you will not be able to get back to your submission.

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 nonexistence 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.

Please note that if you selected an answer of "Yes" to the question indicating that you want to file this information under the SEC's Whistleblower program, you are agreeing to the following statement:

- 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.

If you are an attorney completing this form on behalf of your client, by selecting an answer of “Yes” to the question indicating that you want to file this information under the SEC’s Whistleblower program, you are agreeing to the following statement:

- I certify that I have reviewed this form for completeness and accuracy and that the information contained herein is true, correct and complete to the best of my knowledge, information and belief. I further certify that I have verified the identity of the whistleblower on whose behalf this form is being submitted by viewing the whistleblower’s valid, unexpired government issued identification (e.g., driver’s license, passport) and will retain an original, signed copy of this form, with Section F signed by the whistleblower, in my records. I further certify that I have obtained the whistleblower’s nonwaivable consent to provide the Commission with his or her original signed Form TCR upon request in the event that the Commission requests it due to concerns that the whistleblower may have knowingly and willfully made false, fictitious, or fraudulent statements or representations, or used any false writing or document knowing that the writing or document contains any false fictitious or fraudulent statement or entry; and that I consent to be legally obligated to do so within 7 calendar days of receiving such a request from the Commission.

PRINT SUBMISSION

What is your complaint about?

Please select the option that best describes your complaint.

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

Please select the specific category that best describes your complaint.

False/misleading offering documents

Is this supplemental information to a previous complaint?

Yes

What is the Submission Number of the previous complaint?

17824-136-196-646

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

Thank you for the correction. I have revised the description to accurately reflect that the High Court proceeding is ****under active planning and preparation****, rather than already filed. Below is the corrected version for the SEC TCR "In your own words" section.

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

Anthropic Softwares Private Limited has operated in India under the "Anthropic" name since its incorporation in 2017, with continuous commercial use since 26 April 2017. The company holds asserted prior-use rights and has an Indian trademark application (No. 7298215) that has been examined, accepted, and advertised in the Trade Marks Journal. Anthropic, PBC has filed a Notice of Opposition against that application, and Anthropic Softwares has initiated rectification proceedings against Anthropic, PBC's Indian trademark rights. Commercial litigation (COMM.O.S. No. 2/2026) is pending before the Commercial Court at Belagavi, Karnataka, India.

The dispute has escalated beyond private litigation. Between 4 May 2026 and 18 August 2026, Anthropic Softwares documented ****1,001 misdirected electronic communications**** arising from confusion between its domain (`anthropic.in`) and Anthropic, PBC's domain (`anthropic.com`). These communications were identified solely through sender domains, metadata, and headers — without inspection of substantive content. The apparent senders include Indian government authorities, police, universities, banks, healthcare organisations, major technology corporations, and communications apparently originating from `mail.anthropic.com` itself. A physical courier was also delivered to Anthropic Softwares' Belagavi address that was apparently intended for the Managing Director of Anthropic's Indian organisation.

Anthropic Softwares has implemented an automated misrouting-handling mechanism based on data-minimisation principles and has published a public data-minimisation policy. It has not manually opened or read the substantive contents of any misdirected emails. Despite repeated notifications, Anthropic Softwares has not received evidence of reciprocal safeguards from Anthropic, PBC sufficient to demonstrate that the underlying identity-confusion and communication-misrouting risk has been effectively eliminated.

The matter is now entering the Indian public-law and constitutional sphere. Anthropic Softwares is actively preparing to initiate proceedings before the High Court of

Karnataka concerning the State's decision-making process in relation to a proposed public-facing collaboration involving Anthropic's Indian organisation. The planned petition will raise concerns under Articles 14 and 21 of the Constitution of India, including arbitrary State decision-making and informational privacy. The State was formally notified of the documented risks on 13 July 2026, and no reasoned decision has been communicated in response. We emphasise that we are not asking the SEC to adjudicate these planned constitutional proceedings or the underlying trademark dispute.

India is a strategically significant market for Anthropic, PBC. Anthropic has publicly stated that India is its second-largest market for Claude.ai globally, behind the United States, accounting for approximately 5.8% of global Claude.ai use. Anthropic has established a Bengaluru office, appointed dedicated senior leadership for India, reported that its India revenue run-rate doubled following its October 2025 expansion, and announced major enterprise collaborations including with Infosys.

The pending and planned proceedings concern Anthropic, PBC's principal corporate and commercial identifier rather than an individual product name. The existence of ongoing commercial litigation, trademark opposition and rectification proceedings, documented communication misrouting involving government and institutional senders, formal government notification of risks, and the planned constitutional challenge before the High Court of Karnataka creates legal, operational, reputational, and governmental risks that may be material to investors — particularly given India's importance to Anthropic, PBC's international expansion strategy.

This supplemental complaint is submitted in good faith, without prejudice to the rights of the parties in the pending Indian proceedings, and in the interests of transparency and investor protection. The Complainant is not requesting that the SEC determine the merits of the pending Indian proceedings, but respectfully requests that the Commission consider whether these matters have been appropriately disclosed in Anthropic, PBC's registration statement and offering materials.

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

Unknown

Did you suffer a loss?

No

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

05/08/2025

When did the conduct begin? (mm/dd/yyyy)

05/08/2025

Is the conduct ongoing?

Yes

Has the individual or firm acknowledged the conduct?

No

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

Conversations, Publicly available information, Social media (e.g., Facebook, Twitter, blogs, chat rooms, and electronic communities of interest)

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

Complained to firm, Complained to SEC, Legal action

Provide details on any of the above actions you have taken regarding your complaint.**1. Legal Proceedings in India**

Commercial Litigation: Anthropic Softwares Private Limited filed Commercial Original Suit No. COMM.O.S. No. 2/2026 before the Commercial Court at Belagavi, Karnataka, India, against Anthropic, PBC and related entities. The suit concerns competing rights to the "Anthropic" name, mark, branding, and associated goodwill in India, and seeks interim and permanent injunctive relief, damages, accounts of profits, and corrective measures based upon asserted prior-use rights dating back to 2017. The matter is pending and Anthropic, PBC entered appearance through legal counsel on 9 July 2026, confirming the litigation is actively contested.

Trademark Opposition Proceedings: The Complainant's Indian Trade Mark Application No. 7298215 for the mark "ANTHROPIC" in Class 42 (claiming first commercial use from 26 April 2017) was examined, accepted, and advertised in the Trade Marks Journal No. 2249 dated 23 February 2026. Anthropic, PBC filed a formal Notice of Opposition against that application. The Complainant is actively defending its application before the Indian Trade Marks Registry.

Rectification Proceedings: The Complainant initiated rectification proceedings before the Indian Trade Marks Registry challenging Anthropic, PBC's existing Indian trademark registrations for the "ANTHROPIC" mark. These proceedings place competing claims concerning ownership, priority, registrability, and enforceability before the competent Indian authorities.

Hague Convention Service of Process: The Complainant effected formal service of court process upon Anthropic, PBC through the procedures prescribed by the Hague Service Convention. The Certificate of Service confirms completion of service in June 2026. Anthropic, PBC has been formally notified of the pending proceedings through the applicable international service mechanism.

Planned Constitutional Proceedings: The Complainant is actively preparing to initiate proceedings before the High Court of Karnataka concerning the State's decision-making process in relation to a proposed public-facing collaboration involving Anthropic's Indian organisation. The planned petition will raise concerns under Articles 14 and 21 of the Constitution of India, including arbitrary State decision-making and informational privacy.

2. Complaints and Communications to the Firm

The Complainant communicated concerns regarding customer confusion, business-enquiry diversion, and email misrouting to representatives associated with Anthropic, PBC and its Indian subsidiary, Anthropic India Private Limited.

The Complainant repeatedly notified Anthropic, PBC of the continuing misrouting incidents and requested implementation of verifiable safeguards to prevent identity confusion and communication-security risks. Despite repeated notifications, the Complainant has not received evidence of reciprocal and verifiable safeguards sufficient to demonstrate that the underlying risk has been effectively eliminated.

The Complainant was itself the recipient of a copyright takedown notice dated 5 August 2025 from Anthropic, PBC directed at content hosted on anthropic.in, which first alerted the Complainant to Anthropic, PBC's assertion of rights over the "Anthropic" name and prompted further investigation and action.

3. Government and Regulatory Notifications

On 13 July 2026, the Complainant formally notified the Karnataka Government's Department of Electronics, Information Technology, Biotechnology, and Science & Technology (IT-BT Department) of the documented communication-security and identity-confusion risks arising from the brand dispute. The Complainant requested the State to apply its mind to the evidence and ensure appropriate safeguards before proceeding with any public-facing collaboration involving Anthropic's Indian organisation. No reasoned decision has been communicated in response.

The Complainant has also brought the matter to the attention of multiple regulatory, cybersecurity, and law-enforcement authorities in India, including the Ministry of Electronics and Information Technology (MeitY), CERT-In, and NCIIPC, concerning the data-security and privacy implications of the email misrouting incidents.

4. Public Advocacy and Media Engagement

On 10 August 2026, the Complainant held a press conference in Belagavi, Karnataka, and publicly urged the Karnataka Government to pause any business collaborations with Anthropic, PBC until the trademark dispute is resolved by the courts. The Complainant formally requested the government to place the matter on record, seek clarifications on the operational relationship between Anthropic India Pvt Ltd and Anthropic, PBC, examine the email-misrouting risks under data protection and

cybersecurity laws, and consider issuing advisories to minimise privacy and security risks.

The Complainant's concerns have received extensive coverage in major Indian media, including CityToday, The Times of India, NewsBytes, and The Hindu, further documenting the marketplace confusion and associated risks.

5. Implementation of Internal Safeguards

The Complainant implemented an automated misrouting-handling mechanism based on data-minimisation principles, which identifies relevant communications through external identifiers and redirects them to appropriate leadership/data-protection contacts without human review of substantive content. The Complainant also published a public data-minimisation policy. These measures were taken to mitigate the recurring identity-confusion problem while awaiting resolution of the underlying disputes.

Current Status:

All actions described above remain pending or unresolved. The commercial litigation, trademark opposition and rectification proceedings, and planned constitutional challenge are ongoing. No final adjudication has been made by any competent authority. The Complainant continues to pursue all lawful administrative and judicial remedies available under Indian law. This supplemental submission is made in good faith, without prejudice to the Complainant's rights in the pending proceedings, and solely for the purpose of informing the Commission of material facts relevant to investor protection and disclosure.

Who are you complaining about?

Person or Firm 1

Are you complaining about a person or a firm?

Firm

Select the title that best describes the firm the complaint is about.

Private/Closely Held Company

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

No

Identifier Type

Unknown

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

No

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

No

Firm Name

Anthropic PBC

Address (Continued)

United States

Country

United States

Zip / Postal Code

94104-5401

City

San Francisco

State / Province

California

Website<https://www.anthropic.com/>

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?

No

Which investment products are involved?

Select the type of product involved in your complaint.

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

Please select the category that best describes the security product.

Other equities

For other equities, please provide more information.

Anthropic PBC draft S-1 registration statement

Enter the product name(s), if known.

Anthropic PBC draft S-1 registratio

About you

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

No

Are you submitting this tip, complaint or referral anonymously? Being able to contact you for further information or clarification may be helpful.

No

Title

Mr

First Name

Mohammadayyaz

Middle Name

A

Last Name

Mulla

Street Address

Azam Nagar Belgaum

Address (Continued)

azam nagar , belgaum

Country

India

Zip / Postal Code

590010

City

Belgaum

State / Province

Karnataka

Home Telephone

09945950646

Email Address

md.ayyaz@gmail.com

What is the best way to reach you?

Email

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

No

Select the profession that best represents you.

Other

For Other, please specify.

Managing Director, CEO/CTO and Founder of Anthropic Softwares Pvt Ltd, an Indian technology company and complainant in the pending litigation referenced in this submission.

Attach Files

Upload Document(s)

- *Chairman Sec.pdf* (1.82 MB)
- *cert-in.pdf* (1.71 MB)
- *CISA.jpeg* (78.41 KB)
- *FTC.jpg* (107.51 KB)
- *INDIA-MEITY.pdf* (1.7 MB)
- *USA-CFPB.pdf* (616.39 KB)
- *Belagavi IT firm flags 'Anthropic' brand name confusion, warns of email misrouting, data-security risks - The Hindu.pdf* (922.85 KB)
- *Belagavi startup seeks pause on proposed Karnataka tie-up with Anthropic amid trademark dispute.pdf* (3.06 MB)
- *hindu.png* (204.14 KB)
- *N1.png* (165.68 KB)
- *N2.png* (160.3 KB)
- *N3.png* (255.42 KB)
- *N4.png* (292.6 KB)
- *N6.png* (109.18 KB)
- *N9.jfif* (103.76 KB)
- *N10.jfif* (128.06 KB)
- *TOL.png* (126.58 KB)
- *IT BT Anthropic (1)(1).pdf* (469.12 KB)

