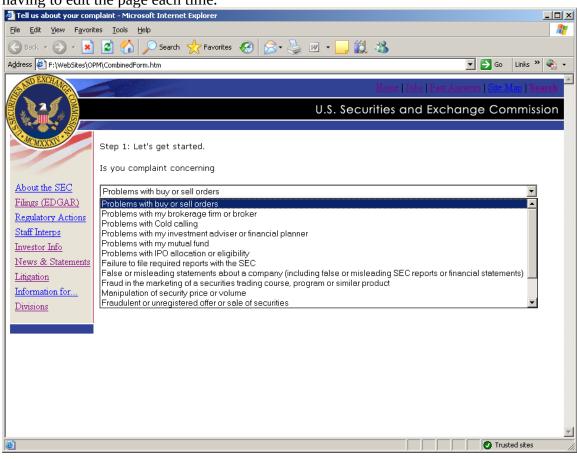
Step One: Starts the process. The list is capable of being dynamic instead of manually having to edit the page each time.



Step Two: Begins the collection process. Where appropriate drop-down lists are program driven versus manual edits.

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Investor Info	Type of firm					
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Litigation	or Salesperson					
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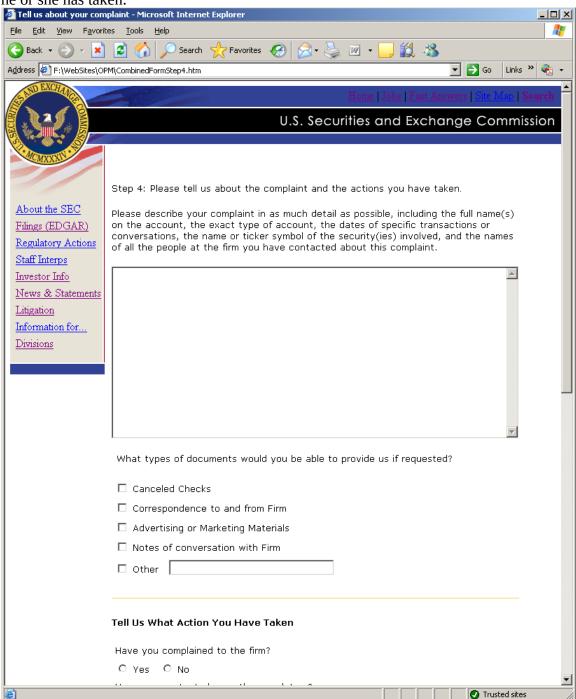
Sample of a drop down:

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Staff Interps	Type of firm					
Investor Info						
<u>News & Statements</u> Litigation	Broker, Advisor, or Salesperson	Bank Broker-Dealer				
Information for	Street address	Day Trading Firm Insurance Company				
Divisions	Address (cont.)	Investment Advisor/Financial Planner Market Maker				
	City	Mutual Fund Newsletter Company/Investment Publication Company				
	State/Province	On-Line Trading Firm Other				
	Zip/Postal code					
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Step Three: Collects security information.

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Step 3: Please tell us some information about the investment.					
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Filings (EDGAR)					
Regulatory Actions Type of security					
Staff Interps Investor Info					
News & Statements Name of Issuer or Security					
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Divisions					
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Step Four: Allows the investor to provide information about the complaint and actions he or she has taken.



Additional information for step four:

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Tell Us What Action You Have Taken		
Have you complained to the firm?		
C Yes C No		
Have you contacted any other regulators?		
C Yes C No		
If yes, whom?		
□ FINRA (Financial Industry Regulatory Authority)		
State Regulators		
Other Federal Regulators		
Foreign Regulators		
Stock Exchange		
Have you taken legal action? If so, what type:		
□ Mediation		
Arbitration		
Court Action		
Describe the details of the legal action you have taken.		
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Step Five: Reque			formation:			
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s	tep 5: Personal In	formation.				
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	ve will do with you omplaint.	r complaint, y	our legal rights,	and options for re	asolving your	
Regulatory Actions						
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Additional fields for step five.

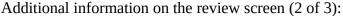
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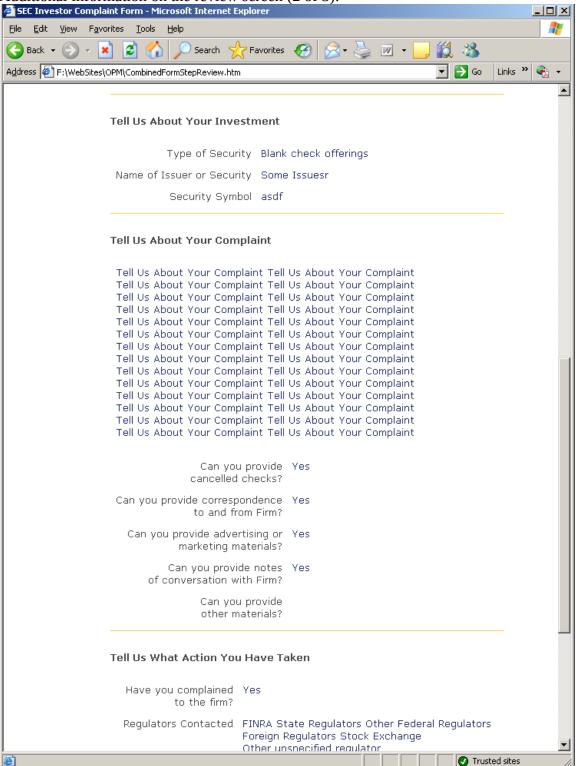
Step Six: For the investor's convenience, we are offering the option for the investor to be alerted when we have rulemaking or an Enforcement action related to the issue(s) about which they contacted the SEC.

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MCMXXXII.	Step 6: Optional email notification
About the SEC	Please email me when there is related rulemaking or SEC Enforcement actions involving this issue.
<u>Filings (EDGAR)</u>	
<u>Regulatory Actions</u> <u>Staff Interps</u>	If you did not provide your email earlier you may enter it here
Investor Info	
<u>News & Statements</u>	
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Review Step: Allows the investor to review their entries and correct inaccuracies or submit the complaint (1 of 3 screens):

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MCMXXXIII.	Investor Compla	aint Form: Review and Submit				
	You're not done v	et! Please review your complaint before sending it. If you				
	need to correct or add anything, either click on the "Make Changes" button below or use your browser's back button. When everything is in order, click on the "Submit to SEC" button. If you do not wish to submit your complaint electronically, simply <u>print a copy</u> of this page and either <u>fax or mail</u> it to us.					
	You told us that v company involved	we may, if appropriate, send your complaint to the firm or I.				
-	Tell Us About Yo	urself				
	Name	Mr. Firstname Lastname				
	Address	Some street Some city, SOUTH CAROLINA 12345 UNITED STATES				
	Daytime Phone	5551212				
	Alternate Phone	2221212				
	Fax					
	Email	myemail@email.com				
	You are a	Individual Investor				
-	Tell Us About the	e Firm or Individual You Have a Complaint Against				
	Name	Firm Name				
	Туре	Bank				
	Broker, Adviser, or Salesperson	Mr. Broker				
	Address	123 Stree Some City, VERMONT 20922 UNITED STATES				
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Additional information on the review screen (3 of 3):

