

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

Tell us about your complaint - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address F:\WebSites\OPM\CombinedForm.htm

Home | Jobs | Fast Answers | Site Map | Search

U.S. Securities and Exchange Commission

Step 1: Let's get started.

Is your complaint concerning

- Problems with buy or sell orders
- Problems with my brokerage firm or broker
- Problems with Cold calling
- Problems with my investment adviser or financial planner
- Problems with my mutual fund
- Problems with IPO allocation or eligibility
- Failure to file required reports with the SEC
- False or misleading statements about a company (including false or misleading SEC reports or financial statements)
- Fraud in the marketing of a securities trading course, program or similar product
- Manipulation of security price or volume
- Fraudulent or unregistered offer or sale of securities

Trusted sites

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

The screenshot shows a Microsoft Internet Explorer browser window displaying the U.S. Securities and Exchange Commission (SEC) website. The page title is "Tell us about your complaint - Microsoft Internet Explorer". The address bar shows "F:\WebSites\OPM\CombinedFormStep2.htm". The page header includes the SEC logo and navigation links: "Home | Jobs | Fast Answers | Site Map | Search". The main heading is "U.S. Securities and Exchange Commission".

The page content is titled "Step 2: Tell us about the firm you have a complaint about." and contains a form with the following fields:

- Firm name:
- Type of firm:
- Broker, Advisor, or Salesperson:
- Street address:
- Address (cont.):
- City:
- State/Province:
- Zip/Postal code:
- Country:

On the left side, there is a navigation menu with links: "About the SEC", "Filings (EDGAR)", "Regulatory Actions", "Staff Interps", "Investor Info", "News & Statements", "Litigation", "Information for...", and "Divisions".

Sample of a drop down:

This screenshot is identical to the previous one, but the "Type of firm" dropdown menu is open, showing a list of options:

- Bank
- Broker-Dealer
- Day Trading Firm
- Insurance Company
- Investment Advisor/Financial Planner
- Market Maker
- Mutual Fund
- Newsletter Company/Investment Publication Company
- On-Line Trading Firm
- Other


Step Three: Collects security information.

Tell us about your complaint - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites Recycle Bin Print Mail New Tab

Address <F:\WebSites\OPM\CombinedFormStep3.htm> Go Links >>

 [Home](#) | [Jobs](#) | [Fast Access](#) | [Site Map](#) | [Search](#)

U.S. Securities and Exchange Commission

Step 3: Please tell us some information about the investment.

[About the SEC](#)
[Filings \(EDGAR\)](#)
[Regulatory Actions](#)
[Staff Interps](#)
[Investor Info](#)
[News & Statements](#)
[Litigation](#)
[Information for...](#)
[Divisions](#)

Type of security

Security symbol

Name of Issuer or Security

[Contact](#) | [Employment](#) | [Links](#) | [FOIA](#) | [Forms](#) | [Privacy](#) **Modified: 08/22/2005**

Done Trusted sites

Step Four: Allows the investor to provide information about the complaint and actions he or she has taken.

Tell us about your complaint - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address [F:\WebSites\OPM\CombinedFormStep4.htm](file:///F:/WebSites/OPM/CombinedFormStep4.htm) Go Links

[Home](#) | [Jobs](#) | [Fast Access](#) | [Site Map](#) | [Search](#)

U.S. Securities and Exchange Commission

Step 4: Please tell us about the complaint and the actions you have taken.

Please describe your complaint in as much detail as possible, including the full name(s) on the account, the exact type of account, the dates of specific transactions or conversations, the name or ticker symbol of the security(ies) involved, and the names of all the people at the firm you have contacted about this complaint.

[About the SEC](#)
[Filings \(EDGAR\)](#)
[Regulatory Actions](#)
[Staff Interps](#)
[Investor Info](#)
[News & Statements](#)
[Litigation](#)
[Information for...](#)
[Divisions](#)

What types of documents would you be able to provide us if requested?

Canceled Checks
 Correspondence to and from Firm
 Advertising or Marketing Materials
 Notes of conversation with Firm
 Other

Tell Us What Action You Have Taken

Have you complained to the firm?

Yes No

Trusted sites

Additional information for step four:

Tell us about your complaint - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites Print Mail New Tab

Address F:\WebSites\OPM\CombinedFormStep4.htm Go Links

Tell Us What Action You Have Taken

Have you complained to the firm?

Yes No

Have you contacted any other regulators?

Yes No

If yes, whom?

FINRA (Financial Industry Regulatory Authority)

State Regulators

Other Federal Regulators

Foreign Regulators

Stock Exchange

Other

Have you taken legal action? If so, what type:

Mediation

Arbitration

Court Action

Describe the details of the legal action you have taken.

Trusted sites

Step Five: Requests optional personal information:

Tell us about your complaint - Microsoft Internet Explorer


File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites Print Mail New Tab

Address F:\WebSites\OPM\CombinedFormStep5.htm Go Links

Home | Jobs | Fast Answers | Site Map | Search

U.S. Securities and Exchange Commission



Step 5: Personal Information.

Please read our brochure, [How We Handle Complaints](#), for information on what we will do with your complaint, your legal rights, and options for resolving your complaint.

Yes, send the form to the firm or company. No, do not send the form to the firm or company. If you choose "no", we will record your complaint in our database, but we cannot help you any further.

Tell Us About Yourself

* You must complete this information.

Title

* First name

Middle initial

* Last name

* Street address

Address (cont.)

* City

* State/Province (required if US or Canada)

* Zip/Postal code

* Country

Daytime phone

http://www.sec.gov/search/search.htm Trusted sites

Additional fields for step five.

The screenshot shows a Microsoft Internet Explorer browser window. The title bar reads "Tell us about your complaint - Microsoft Internet Explorer". The address bar contains the URL "F:\WebSites\OPM\CombinedFormStep5.htm". The main content area displays a form with the following fields:

- Daytime phone
- Alternate phone
- Fax
- * E-mail
- * Are you a

Below the form is a "Next" button. At the bottom of the page, there is a footer with the following text:

[Contact](#) | [Employment](#) | [Links](#) | [FOIA](#) | [Forms](#) | [Privacy](#) **Modified: 08/22/2005**

The status bar at the bottom right of the browser window shows a green checkmark and the text "Trusted sites".


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.

Tell us about your complaint - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites

Address <F:\WebSites\OPM\CombinedFormStep6.htm> Go Links

 [Home](#) | [Jobs](#) | [Fast Answers](#) | [Site Map](#) | [Search](#)

U.S. Securities and Exchange Commission

Step 6: Optional email notification

Please email me when there is related rulemaking or SEC Enforcement actions involving this issue.

If you did not provide your email earlier you may enter it here

[About the SEC](#)
[Filings \(EDGAR\)](#)
[Regulatory Actions](#)
[Staff Interps](#)
[Investor Info](#)
[News & Statements](#)
[Litigation](#)
[Information for...](#)
[Divisions](#)

[Contact](#) | [Employment](#) | [Links](#) | [FOIA](#) | [Forms](#) | [Privacy](#) Modified: 08/22

Trusted sites

Review Step: Allows the investor to review their entries and correct inaccuracies or submit the complaint (1 of 3 screens):

SEC Investor Complaint Form - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Refresh Print Mail

Address F:\WebSites\OPM\CombinedFormStepReview.htm Go Links

Home | Previous Page

U.S. Securities and Exchange Commission

Investor Complaint Form: Review and Submit

You're not done yet! 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 [print a copy](#) of this page and either [fax or mail](#) it to us.

You told us that we may, if appropriate, send your complaint to the firm or company involved.

Tell Us About Yourself

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 Firm or Individual You Have a Complaint Against

Name Firm Name

Type Bank

Broker, Adviser, or Salesperson Mr. Broker

Address 123 Stree
Some City, VERMONT 20922 UNITED STATES

Trusted sites

Additional information on the review screen (2 of 3):

SEC Investor Complaint Form - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Refresh Print Mail Stop

Address F:\WebSites\OPM\CombinedFormStepReview.htm Go Links

Tell Us About Your Investment

Type of Security Blank check offerings

Name of Issuer or Security Some Issuesr

Security Symbol asdf

Tell Us About Your Complaint

Tell Us About Your Complaint Tell Us About Your Complaint
Tell Us About Your Complaint Tell Us About Your Complaint
Tell Us About Your Complaint Tell Us About Your Complaint
Tell Us About Your Complaint Tell Us About Your Complaint
Tell Us About Your Complaint Tell Us About Your Complaint
Tell Us About Your Complaint Tell Us About Your Complaint
Tell Us About Your Complaint Tell Us About Your Complaint
Tell Us About Your Complaint Tell Us About Your Complaint
Tell Us About Your Complaint Tell Us About Your Complaint
Tell Us About Your Complaint Tell Us About Your Complaint
Tell Us About Your Complaint Tell Us About Your Complaint
Tell Us About Your Complaint Tell Us About Your Complaint
Tell Us About Your Complaint Tell Us About Your Complaint

Can you provide cancelled checks? Yes

Can you provide correspondence to and from Firm? Yes

Can you provide advertising or marketing materials? Yes

Can you provide notes of conversation with Firm? Yes

Can you provide other materials?

Tell Us What Action You Have Taken

Have you complained to the firm? Yes

Regulators Contacted FINRA State Regulators Other Federal Regulators
Foreign Regulators Stock Exchange
Other unspecified regulator

Trusted sites

Additional information on the review screen (3 of 3):

SEC Investor Complaint Form - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites Print Mail New Tab

Address <F:\WebSites\OPM\CombinedFormStepReview.htm> Go Links

Tell Us What Action You Have Taken

Have you complained to the firm? Yes

Regulators Contacted [FINRA](#) [State Regulators](#) [Other Federal Regulators](#) [Foreign Regulators](#)
[Stock Exchange](#)
[Other unspecified regulator](#)

Action Taken [Mediation](#) [Arbitration](#)
[Court Action](#)

Describe the details of the legal action you have taken.

Describe the details of the legal action you have taken.

Describe the details of the legal action you have taken.

Optional Email Notifications

Please email me when there is related rulemaking or SEC Enforcement actions involving this issue.

[Review Form](#) [Clear Form](#)

By clicking on "Review Form", you will have a chance to review, make changes, and print your submission.

<https://tts.sec.gov/acts-ics/WEB-INF/html/complaint.jsp>

[Home](#) | [Previous Page](#)

Done Trusted sites