

# Investor Complaint Form

OMB Approval	
OMB Number:	3235-0547
Estimated burden:	0.25 hours

You may use this form to send a complaint to the SEC. Read the enclosed brochure, *How the SEC Handles Your Complaint or Inquiry*, which covers information about your legal rights and what we will do with your complaint. We may share the information you provide with others. Read the enclosed *Notice on Supplying Information Voluntarily* to learn more about how we may use the information you send to us.

## U.S. Securities and Exchange Commission

Office of Investor Education and Advocacy  
100 F Street, NE  
Washington, D.C. 20549-0213

Phone (202) 551-6500

Fax (202) 772-9295

[www.sec.gov/investor.shtml](http://www.sec.gov/investor.shtml)

- Yes, send the form to the firm or company.
- No, don't send the form to the firm or company. If you choose "No," we will add your complaint to our database, but we cannot help you any further.

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### How Can We Reach You?

Your Name

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Street Address

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City

State

Zip code

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Phone number where we can reach you during business hours:

(\_\_\_\_) \_\_\_\_\_ Fax number (\_\_\_\_) \_\_\_\_\_

Email Address

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### Who Are You Complaining About?

Firm or Company Name

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Address

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City

State

Zip code

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Phone

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Is this the branch office of a larger firm? If so, give the address of the branch office.

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Type of Firm or Company: Online Brokerage Firm  Broker-Dealer   
Mutual Fund  Investment Adviser  Transfer Agent   
Other  \_\_\_\_\_



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What losses or damages, if any, are you claiming? \_\_\_\_\_

**What Actions Have You Taken?**

Have you complained to the firm or company? Yes  No

Have you contacted any other regulators? Yes  No

If yes, who? State Regulator  Other Federal Regulator  Foreign Regulator

Financial Industry Regulatory Authority (FINRA)

Other  \_\_\_\_\_

Have you taken legal action? If so, what type of action? Mediation  Arbitration

Civil Action  Criminal Complaint  Other \_\_\_\_\_

**Provide copies of any documents you believe will assist us in reviewing your complaint, including any responses you have received about your complaint. Please do not send us originals!**

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Your Signature

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Date

Revised April 2008