

## Data Fields

### General Public

Are you employed as a financial industry professional?

- Yes
- No

Are you an External Partner, Self-Regulatory Organization (SRO), or other regulatory authority?

- Yes
- No

Select the profession that best represents you:

- Accountant
- Analyst
- Attorney
- Auditor
- Broker-dealer
- Compliance officer
- Financial planner
- Fund manager
- Investment adviser
- Investment adviser representative
- Investment company director, officer, or employee
- Registered representative
- Transfer agent
- Underwriter
- Other – Specify [Textbox]

Are you complaining about an individual, a firm, or a market event or condition?

- Individual
- Firm
- Individual and Firm
- Multiple Individuals and/or Multiple Firms
- Market Event or Condition

Select the title that best describes the Individual:

- Accountant
- Analyst
- Attorney
- Auditor
- Broker
- Compliance officer
- Employee
- Executive officer or director
- Financial planner
- Fund manager

- Investment adviser representative
- Receiver
- Stock promoter
- Trustee
- Unknown
- Other – Specify [ Textbox ]

Individual's Title:

- Mr.  Mrs.  Ms.

First Name: [ Textbox ]

Middle Name: [ Textbox ]

Last Name: [ Textbox ]

Street Address: [ Textbox ]

Address (Continued): [ Textbox ]

City: [ Textbox ]

State / Province: [ State / Province Dropdown List ]

Zip / Postal Code: [ Textbox ]

Country: [ Country Dropdown List ]

Telephone:

Home [ Telephone Number Format]

Work [ Telephone Number Format]

Mobile [ Telephone Number Format]

Other [ Telephone Number Format]

Email Address: [ Textbox ]

Where is the Individual that you are complaining about employed?

- [ Textbox ]
- Unknown

Select the term that best describes the Firm that is the subject of your complaint::

- Bank
- Broker-dealer
- Clearing agency
- Day trading firm
- Exchange
- FINRA
- Insurance company
- Investment adviser
- Investment adviser representative
- Investment company
- IRA or 401(k) custodian/administrator
- Market maker
- Municipal securities dealer
- Mutual fund
- Newsletter company/investment publication company
- On-line trading firm
- Private fund company (including hedge fund, private equity fund, venture capital fund or real estate fund)

- Private/closely held company
- Publicly held company
- Transfer agent/paying agent/registrar
- Underwriter
- Unknown
- Other – Specify [Textbox ]]

Street Address: [ Textbox ]

Address (Continued): [ Textbox ]

City: [ Textbox ]

State / Province: [ State / Province Dropdown List ]

Zip / Postal Code: [ Textbox ]

Country: [ Country Dropdown List ]

Telephone Number: [ Textbox ]

Website: [ Textbox ]

***If known, select the company or firm's identifier:***

Identifier Type

- Ticker Symbol
- CIK
- Unknown

**Ticker Symbol**

Ticker Symbol [ Ticker Symbol Dropdown or Smart Look-Up ]

CIK [ Textbox ] Manual entry but future dropdown if database is available.

***Other Information:***

Are you or were you associated with the Individual or Firm when the alleged misconduct occurred?

- Yes
- No
- Unknown

How is the Individual or Firm related to you? Presented if answered Yes above)

- Accountant
- Agent
- Auditor
- Attorney
- Banker
- Broker-dealer
- Competitor
- Controller
- Current director or officer
- Former director or officer
- Current contractual relationship (contractor, consultant, vendor, supplier)
- Prior contractual relationship (contractor, consultant, vendor, supplier)

- Customer / client
- Current Employee-specify role [Textbox]
- Former Employee-specify role [Textbox]
- Investment adviser
- Investment adviser representative
- Investor
- Stock promoter
- Prospective customer
- Registered Representative
- Significant security holder/ control person
- Spouse, ex-spouse or other family member
- Transfer agent
- No relationship
- Unknown
- Other – specify [ Textbox ]

*Allegation- additional fields are displayed based on [complaint subjects]*

What is the nature of your complaint?

- Are you complaining about a fraudulent investment scheme such as a ponzi scheme or the promise of high-yield returns?* [Offering Fraud]
- Does your complaint involve improper trading of a specific security, insider trading or manipulation of a security's price or volume?* [Securities Fraud]
- Does your complaint allege theft or misappropriation of your funds or securities?* [Theft / Misappropriation]
- Are you complaining about an unregistered securities offering or an unregistered financial professional?* [Registration]
- Do you have a complaint about general trading practices, pricing issues or a specific market event?* [Trading]
- Are you complaining about the fees or commissions you were charged?* [Fees / Mark-Ups / Commissions]
- Do you have problems regarding your financial professional's handling of your investments?* [Sales and Advisory Practices]
- Does your complaint relate to paperwork regarding your investments, delivery of funds or securities, or payment?* [Operational Issues]
- Are you having difficulty opening or closing your brokerage account or redeeming or transferring your mutual funds?* [Customer Accounts]
- Did your financial professional make misrepresentations about an investment product?* [Misrepresentation / Omission (Non-Issuer)]

- Does your complaint relate to a company's or a municipality's disclosures, transactions or governance? [Corporate Disclosure and Issuer-Related Problems]
- Do you wish to submit a complaint about the SEC or another securities regulator? [Complaints about SEC, SRO, and SIPC Processes & Programs]
- If your complaint does not fit in any of the categories above, please explain here:

Explain Allegation [Textbox]

### **Securities Fraud**

- Pump and dump scheme
- Front running
- Insider trading
- Abusive naked short selling
- Manipulation of a security's price or volume
- Suspicious end of day trading
- Other

Specify Other [Textbox]

### **Theft / Misappropriation**

- Advance fee fraud
- Theft of funds or securities by financial professional
- Theft/forgery by other than financial professional
- Identity theft/hacking of firm
- Identity theft/hacking of individual

### **Misrepresentation / Omission (Non- Issuer)**

- False/misleading marketing/sales literature
- Inaccurate, misleading, or non-disclosure by Broker-Dealers, Investment Advisers and Associated Persons
- False/material misstatements in firm research that were the basis of transaction

### **Offering Fraud**

- Affinity fraud
- Ponzi / pyramid scheme
- High-yield investment
- Other [Textbox ]

If a return on investment of any amount was guaranteed, what percentage was guaranteed?

- [ % ] Enter Percentage
- Unknown

If you are alleging offering fraud, how was the offer made?

- Public filing with the SEC
- Public filing made with other agency
- Private placement documents
- Non-personal message (radio, television, periodical, tout sheet, website)
- Personal message (email, voicemail, phone call)
- Other [Textbox ]
- Unknown

### **Registration**

- Unregistered securities offering
- Unregistered securities or advisory firm
- Unregistered securities salesperson

### **Trading**

- After hours trading
- Algorithmic trading/high frequency trading
- Bankrupt companies, trading in
- Market maker activities
- Pricing Information: inaccurate quotes/pricing information
- Specific market events or conditions
- Trade execution
- Other [Textbox ]

### **Fees / Mark-Ups / Commissions**

- Administrative fees: excessive or unnecessary
- Breakpoints: failure to disclose
- Commission or sales fees: excessive
- Failure to disclose fees before transaction
- Insufficient notice of change in fees
- Negotiated fee problems

### **Fees / Mark-Ups / Commissions (cont.)**

- Mark-ups/markdowns: excessive
- Spreads: excessive or otherwise improper

### **Corporate Disclosure and Issuer Related Problems**

- Audit
- Bribery of, or improper payments to, foreign officials
- Corporate governance
- Conflicts of interest by management
- Executive compensation
- Failure to file material event notice concerning a municipal offering/issue
- Failure to notify shareholders of corporate events
- False/misleading financial statements
- False/misleading offering documents
- False/misleading press release
- False/misleading proxy materials
- Failure to file reports
- Going private transactions
- Kickbacks or improper payments to municipal issuers

- Kickbacks or improper payments to pension associates
- Mergers and acquisitions
- Proxy materials/prospectus
- Reverse stock splits
- Selective disclosure – Regulation FD
- Shareholder proposals
- Tender offers

**Sales and Advisory Practice** ○ Breach of fiduciary duty/responsibility

- Churning/excessive trading
- Cold calling harassment
- Cold calling: failure to comply with “do not call” list
- Conflict of interest
- Discretionary trading: abuse of authority
- Failure to supervise
- Guarantee against loss/promise to buy back shares
- High pressure sales techniques
- Inability to access funds or securities
- Instructions by client not followed
- Investment objectives not followed
- Margin: inadequate disclosure or understanding or risks or procedures
- Poor investment advice
- Regulation S-P: privacy issues
- Solicitation methods (non-cold calling): seminars
- Suitability
- Unauthorized transactions

**Firm Operational Issues and Internal Control**

- Bond default
- Confirmations/statements
- Delivery of funds/proceeds
- Dividend and interest problems

**Firm Operational Issues and Internal Controls (cont)**

- Exchanges/switches of mutual funds with fund family
- Lost or stolen securities
- Margin: discrimination problem – Equal Credit Opportunity Act (Regulation B)
- Margin: illegal extension of margin credit
- Margin: Regulation T restrictions
- Margin: unauthorized margin transactions
- Online issues (trading system operation slowly or inaccessible)
- Settlement
- Stock certificates: old/lost
- Tax reporting problems
- Titling securities: difficulties titling ownership
- Trade execution

**Customer Accounts**

Please select the category that best describes your complaint:

- Abandoned or inactive accounts
- Account administration and processing: matters relating to daily activity in an account
- Account administration and processing: account opening
- Account administration and processing: account closing and redemption issues
- Identify theft affecting account
- IPOs: problems with IPO allocation or eligibility
- Inaccurate valuation of NAV
- Transfer of account
- Arbitration: bias by arbitrators/forum
- Arbitration: failure to pay/comply with award
- Arbitration: mandatory arbitration requirements
- Arbitration: procedural problems or delays
- SRO: failure to take action
- SIPC proceedings and BD liquidations

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

- Yes
- No
- Unknown

Are you having or have you had difficulty in contacting the firm?

- Yes
- No
- Unknown

If you suffered a loss, what is the amount of the alleged loss?

- [ \$ 0 ] Whole Dollars, no Decimals
- Unknown

When did you become aware of the alleged misconduct?

[ Year, Month, Day, Date Dropdown ]

When did the alleged conduct begin?

- [ Year, Month, Day, Date Dropdown ]
- Unknown

Is the alleged conduct ongoing?

- Yes
- No
- Unknown

When did the alleged conduct stop?

- [ Year, Month, Day, Date Dropdown ]
- Unknown



Has the individual or firm acknowledged the misconduct / error / deficiency?

- Yes
- No
- Unknown

What is the source of your information? You may select more than one.

- Account Statements
- Broker Dealer Records
- Conversations
- Inside information
- Publicly available information
- SEC filings
- Social media (e.g., blogs, chat rooms and electronic communities of interest)
- Stock tip sheet or newsletter

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

- Complained to firm – specify [Textbox]
- Complained to other regulator – specify [Textbox]
- Complained to SEC – specify [Textbox]
- Complained to law enforcement – specify [Textbox]
- Complained to other – specify [Textbox]
- Legal action
- Mediation
- Arbitration
- Unknown
- None
- Other – specify [ Textbox ]

Tell us more about your allegation: [ Textbox ]

Provide supporting documentation, if any about your allegation:

### **Add Attachments**

Are you declaring whistleblower status under Section 21F of the Investor Protection Act?

- Yes
- No

Are you represented by an attorney with respect to your complaint?

- Yes
- No

Please provide contact information of the attorney:

Name [Textbox]

Home [ Telephone Number Format]  
Work [ Telephone Number Format]  
Mobile [ Telephone Number Format]  
Other [ Telephone Number Format]  
Email [Textbox]

Would you prefer we contact your attorney or contact you directly?

- Contact attorney
- Contact me directly

### *Products*

Select the type of security product t: You may select multiple products.

- 1031 exchanges
- 529 plans
- ADRs
- Annuities
- Annuities: equity-indexed annuities
- Annuities: fixed annuities
- Annuities: variable annuities
- Asset-backed securities
- Auction rate securities
- Banking products, including credit cards
- Business development company
- Certificates of deposit
- Closed-end funds
- Coins and precious metals (gold, silver, etc.)
- Collateralized mortgage obligations (CMOs)
- Commercial paper
- Commodities
- Commodities: currency transactions
- Commodities: futures
- Commodities: stock index options
- Convertible securities
- Debt
- Debt: corporate (other than ABS, CMOs)
- Debt: lower-rated or "junk"
- Debt: municipal
- Equities
- Equities: exchange-traded
- Equities: foreign (not ADRs)
- Equities: OTC
- Equities: unregistered
- Equities: linked notes
- ETFs
- Franchises and other business ventures
- Hedge Funds

- Insurance contracts (not annuities)
- Money-Market funds
- Mortgage-backed securities
- Mortgages
- Mortgages: reverse mortgages
- Mutual Funds
- No Product/ Product not mentioned
- Options
- Options: commodity options
- Options: index options
- Partnerships
- Preferred shares
- Prime bank securities/high yield programs
- Promissory notes
- Real estate
- Real estate investment trusts (REITs)
- Retirement Plans
- Retirement Plans: 401(k)s
- Retirement Plans: IRAs
- Retirement Plans: Public Pensions
- Rights and warrants
- Structured note products
- Subprime issues
- Treasury securities
- U.S. government agency securities
- Unit investment trusts (UITs)
- Viaticals and life settlements
- Wrap accounts and SMAs
- Other – Specify [Textbox ]
- Unknown

Enter the CUSIP number:

- [ Textbox ]9 character alphanumeric validation
- Unknown

Enter the security/ticker symbol:

- [ Textbox ] Dropdown Smart Look-up
- Unknown

Confirm or enter the product name:

- If possible, system should derive and pre-populate field from user entries
- Confirm [Pre-populated field ]
- [ Textbox ]
- Unknown
- None

*Please tell us about yourself or the person(s) on whose behalf you are making this complaint:*

Title:  Mr.  Mrs.  Ms.

First Name:

System will spell-check if user attempts to enter "Anonymous".

[ Textbox ]

Middle Name: [ Textbox ]

Last Name: [ Textbox ]

Street Address: [ Textbox ]

Address (Continued): [ Textbox ]

City: [ Textbox ]

State / Province: [ State / Province Dropdown List ]

Zip / Postal Code: [ Textbox ]

Country: [ Country Dropdown List ]

Telephone Number(s): [ Textbox ]

Email Address(es): [ Textbox ]

What is the best method to contact you?

- Phone
- Email
- Mail Correspondence