

Welcome to Tips, Complaints and Referrals

The goal of this site is to provide a way for members of the public to provide information to the SEC regarding possible violations of the federal securities laws.

Thank you for coming forward with information about a possible violation of the U.S. securities laws. This questionnaire is designed to elicit the kinds of information necessary for us to best evaluate your complaint and, if appropriate, to take action.

To submit information to the SEC about possible violations of the federal securities laws, please [click here to go to Questionnaire](#) or click the "Questionnaire" link, located above. Please note that we may share the information you provide with others. Read the [PRIVACY ACT NOTICE](#) to learn more about how we may use the information you send to us.

Information about the Whistleblower Award Program:

The Dodd-Frank Wall Street Reform and Consumer Protection Act, signed into law by President Obama on July 21, 2010, authorizes the SEC to pay an award to eligible whistleblowers. You may be eligible for a monetary award if the information you submit leads to an SEC action that results in monetary sanctions exceeding \$1,000,000. To learn more about this award program, including the eligibility requirements in the statute and final rules approved by the Commission to implement this program, please [click here to go to Whistleblower Declarations](#).

You are encouraged to submit your information in writing online by filling out the online questionnaire, available [click here to go to Questionnaire](#). If you submit electronically and would like to be considered for an award under our whistleblower program, you are required to answer yes to the appropriate question on the "About you" page of the questionnaire and to electronically submit the whistleblower declaration at the end of the questionnaire. [Click here to go to Whistleblower Declarations](#) to see a screen shot of the required declaration. If you wish to remain anonymous but still be eligible for an award, you must be represented by, and provide contact information for, an attorney.

If you prefer to submit your information in hard copy, you may print out the newly-available [Form-TCR](#) and submit it:

- **By mail:** to the Office of the Whistleblower, SEC, 100 F Street, NE, Mail Stop 5971, Washington, DC 20549; or
- **By fax:** to the Office of the Whistleblower (703) 813-9322.

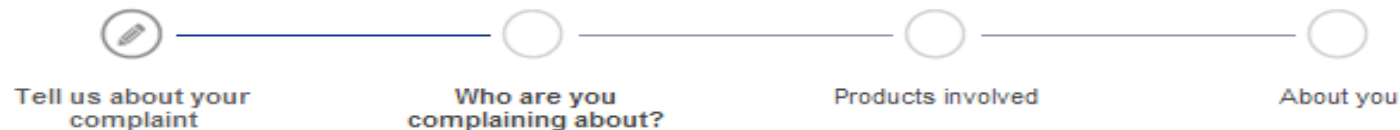
OMB Number: 3235-0672

This collection of information has been reviewed by the Office of Management and Budget ("OMB") in accordance with the clearance requirements of 44 U.S.C. §3507. The applicable Privacy Act system of records (SORN) is SEC 63 and the routine uses of the records are set forth at 76 FR 30213 (May 24, 2011). This SORN is exempt from certain sections of the privacy act and the citation for the rule exempting the notice is 76 FR 57636 (September 16, 2011).



Tips, Complaints and Referrals Intake Form

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Tell Us About Your Complaint

Instructions

In order for us to best understand your information, we encourage you to answer all the questions that you can. However, only those fields with an asterisk are required. When providing information, please be as specific as you can and provide as much detail as possible. We encourage you to submit any documents relevant to your information by clicking on the "Upload Documents" button at the bottom of the 'About You' page. A questionnaire that is inactive for a period of time will display a warning box and instructions for extending time. If time is not extended, you may be disconnected from our servers, and any information you previously entered will be lost

Please select the option that best describes your complaint [31]

- Fraudulent investment scheme, such as a Ponzi scheme or the promise of high-yield returns
- Unregistered securities offering
- General trading practices or pricing issues
- Manipulation of a security
- Insider trading
- Material misstatement or omission in a company's public filings or financial statements, or a failure to file
- Municipal securities transactions or public pension plans
- Bribery of, or improper payments to, foreign officials (Foreign Corrupt Practices Act Violations)
- A specific market event or condition (please describe below)
- If your complaint does not fit in any of the categories above, please describe below

Please select the specific category that best describes your complaint [32]

 ▼

If a return on investment of any amount was guaranteed, what percentage was guaranteed? [33]

- [%] Enter Percentage Unknown

If you are alleging offering fraud, how was the offer made? [34]

 ▼

* Provide additional details about your complaint [172]

Are you having or have you had difficulty in getting access to your funds or securities? [35]

- Yes No Unknown

Did you suffer a loss? [196]

- Yes No

When did you become aware of the alleged conduct? (mm/dd/yyyy) [38]

📅

When did the alleged conduct begin? (mm/dd/yyyy) [39]

📅

Is the alleged conduct ongoing? [40]

- Yes No Unknown

Has the individual or firm acknowledged the alleged conduct? [42]

- Yes No Unknown

What is the source of your information? You may select more than one [43]

- Account Statements
- Broker Dealer Records
- Conversations
- Internal business documents
- Publicly available information
- SEC filings
- Social media (e.g., Facebook, Twitter, 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 [44]

- Complained to firm
- Complained to other regulator
- Complained to SEC
- Complained to law enforcement
- Complained to other
- Legal action
- Mediation
- Arbitration
- Other
- None

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Who Are You Complaining About

Instructions

Please provide the following information to the extent known for each person or firm that is a subject of your complaint. To add additional persons or firms, provide the information below for the first person or firm, then click the "Add this subject to your complaint" button at the bottom of this page. Next, click the "Add Another Person or Firm" link.

Are you complaining about an individual or a firm? [4]

Individual Firm

If you are complaining about an entity or individual that has custody or control of your investments, have you had difficulty contacting that entity or individual? [36]

Yes No Unknown

Individual's Title [163]

Mr Mrs Ms

First Name [8]

Middle Name [9]

Last Name [10]

Street Address [11]

Address (Continued) [12]

Zip / Postal Code [15]

City [13]

State / Province [14]

Country [16]

Home Phone [19]

Work Phone [20]

Mobile Phone [21]

Other Phone [22]

Email Address [23]

Website [24]

Are you or were you associated with the individual or firm when the alleged conduct occurred? [29]

Yes No Unknown

How are you or were you associated with the individual or firm you are complaining about? [30]

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[Add this subject to your complaints +](#)

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Tips, Complaints and Referrals Intake Form

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Tell us about your complaint



Who are you complaining about?



Products involved



About you

Who Are You Complaining About

Instructions

Please provide the following information to the extent known for each person or firm that is a subject of your complaint. To add additional persons or firms, provide the information below for the first person or firm, then click the "Add this subject to your complaint" button at the bottom of this page. Next, click the "Add Another Person or Firm" link.

Are you complaining about an individual or a firm? [4]

Individual Firm

Select the title that best describes the individual or firm that you are complaining about [5]

If you are complaining about an entity or individual that has custody or control of your investments, have you had difficulty contacting that entity or individual? [36]

Yes No Unknown

Firm Name [7]

Street Address [11]

Address (Continued) [12]

Zip / Postal Code [15]

City [13]

State / Province [14]

Country [16]

Home Phone [19]

Work Phone [20]

Mobile Phone [21]

Other Phone [22]

Email Address [23]

Website [24]

Identifier Type [26]

Ticker Symbol CIK CRD Unknown

Enter the CRD Number [539]



Tell us about your complaint



Who are you complaining about?



Products involved



About you

Products Involved

Instructions

Please provide as much of the following information as possible. Select the option below that best describes the type of product involved, and, if applicable, choose the specific type of product from the drop down menu. If your complaint does not involve any of the listed products or you are not sure if it does, please proceed to the next page.

Select the type of product involved in your complaint [182]

- Annuities and Insurance Products
- Banking and Consumer Finance Products
- Commodities
- Debt Securities (e.g., corporate bonds, municipal bonds)
- Derivatives (e.g., futures, options, swaps)
- Equities (e.g., common stock, preferred stock)
- Funds (e.g., ETFs, mutual funds, private equity funds, hedge funds)
- Real Estate
- Retirement Accounts and Products
- Other

Enter the security/ticker symbol if known [155]

Enter the product name(s) [67]

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Tips, Complaints and Referrals Intake Form

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Tell us about your complaint



Who are you complaining about?



Products involved



About you

About You

Instructions

Contact information will not be submitted unless you press "Add Submitter Information" at the bottom of the page. You may provide information for multiple individuals by pressing "Add Another Submitter" after each entry. Saved entries can be edited at any point before submission of this questionnaire.

*** Are you submitting this tip, complaint or referral pursuant to the SEC's whistleblower program? [200]**

*** Are you submitting this tip, complaint or referral anonymously? Being able to contact you for further information or clarification may be helpful. [201]**

Attorney Title [47]

Mr Mrs Ms

*** Attorney First Name [48]**

Attorney Middle Name [49]

*** Attorney Last Name [50]**

Attorney Firm Name [218]

Attorney Street Address [51]

Attorney Address (Continued) [52]

Attorney Zip / Postal Code [55]

Attorney City [53]


Attorney State / Province [54]

Attorney Country [56]

Attorney Work Telephone [50]

Attorney Email Address [62]

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Add Attorney 

Return To Submitter Information 

Title [68]

Mr Mrs Ms

*** First Name [73]**

Middle Name [74]

*** Last Name [75]**

Street Address [76]

Address (Continued) [77]

Zip / Postal Code [81]

City [78]

State / Province [79]

Country [82]

Other Telephone [86]

Email Address [165]

What is the best way to contact you? [166]

Select the profession that best represents you [3]

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Tips, Complaints and Referrals Intake Form

Help



Tell us about your complaint



Who are you complaining about?



Products involved



About you

Whistleblower Declarations

Instructions

Instructions: If you are submitting this tip, complaint or referral pursuant to the SEC's whistleblower program, each submitter must complete a declaration. If you are not submitting under the whistleblower program, press submit below. Click the "Update Declaration" button to display the declaration questions and certification statement. Click the "Save Declaration" button to save your responses. If you would like to see a copy of the whistleblower declaration statements, click here . * = REQUIRED for each Declaration.

Name	Whistleblower	Declaration
ds dsa	Yes	Add Whistleblower Declaration

*** 1. Are you, or were you at the time you acquired the original information you are submitting to us, a member, officer, or employee of the Department of Justice, the Securities and Exchange Commission, the Comptroller of the Currency, the Board of Governors of the Federal Reserve System, the Federal Deposit Insurance Corporation, the Office of Thrift Supervision, the Public Company Accounting Oversight Board, any law enforcement organization, or any national securities exchange, registered securities association, registered clearing agency, or the Municipal Securities Rulemaking Board? [205]**

*** 2. Are you, or were you at the time you acquired the original information you are submitting to us, a member, officer, or employee of a foreign government, any political subdivision, department, agency, or instrumentality of a foreign government, or any other foreign financial regulatory authority as that term is defined in Section 3(a)(52) of the Securities Exchange Act of 1934 (15 U.S.C. §78c(a)(52))? [206]**

*** 3. Did you acquire the information being submitted to us through the performance of an engagement required under the federal securities laws by an independent public accountant? [207]**

*** 4. Are you submitting this information pursuant to a cooperation agreement with the SEC or another agency or organization? [208]**

*** 5. Are you a spouse, parent, child, or sibling of a member or employee of the SEC, or do you reside in the same household as a member or employee of the SEC? [209]**

6. If the answer to any of questions 1 through 5 above is 'yes,' please provide details. [211]

* 7a. Are you submitting this information before you (or anyone representing you) received any investigative request, inquiry, or demand that relates to the subject matter of your submission from the SEC, Congress, or any other federal, state, or local authority, any self regulatory organization, or the Public Company Accounting Oversight Board? [212]

7b. If the answer to question 7a is 'no,' please provide details. [213]

* 8a. Are you currently a subject or target of a criminal investigation, or have you been convicted of a criminal violation, in connection with the information you are submitting to the SEC? [214]

8b. If the answer to question 8a is 'yes,' please provide details. [215]


*** 9a. Did you acquire the information being provided to us from any person described in questions 1 through 8? [210]**

9b. If the answer to question 9a is 'yes,' please provide details about the person from whom you acquired the information. [223]

*** 10. Identify with particularity any documents or other information in your submission that you believe could reasonably be expected to reveal your identity, and explain the basis for your belief that your identity would be revealed if the documents were disclosed to a third party. [222]**

*** I certify that I have reviewed this form for completeness and accuracy and that the information contained in this submission 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); will retain an original, signed copy of this form, with Section F signed by the whistleblower, in my records; that I have obtained the whistleblower's non-waiveable 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 form may contain false, fictitious, or fraudulent statements or representations that were made knowingly or willfully by the whistleblower; and that I consent to be legally obligated to do so within 7 calendar days of receiving such a request from the Commission. [216]**

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Submit Whistleblower Declaration 

CANCEL 