


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

## U.S. Securities and Exchange Commission

### Investor Complaint Form

You may use this form to send your complaint to the SEC. Although we use secure socket layer encryption, do not hesitate to [print this form](#) and send it by [mail or fax](#) if you have any concerns about security. Please read our [Privacy Act Notice](#) to learn more about how we may use the information you send to us.

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Estimated average burden	
hours per response:	0.25

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

Alternate phone

Fax

\* E-mail

\* Are you a

#### Tell Us About the Firm or Individual You Have a Complaint Against

Firm name

Type of firm

Broker, Advisor, or Salesperson

Street address

Address (cont.)

City

State/Province

Zip/Postal code Country 

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**Tell Us About Your Investment**Type of security Security symbol Name of Issuer or Security 

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**Tell Us About Your Complaint**

\* 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.

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

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**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.

<https://tts.sec.gov/oiea/Complaint.html>

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