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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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|--------------------------|--------------------|
| OMB Number: | 3235-0547 |
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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

Tell Us About Your InvestmentType of security Security symbol Name of Issuer or Security

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.

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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

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.

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 65 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).

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

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