

Tips, Complaints, and Referrals

- **Current** **What is your complaint about?**
- Who are you complaining about?
- Which investment products are involved?
- About you
- Attach Files
- Review and Submit
- Complete

Step 1 of 7 What is your complaint about?

Please select the option that best describes your complaint.

- 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
- Specific market event or condition
- Bribery of, or improper payments to, foreign officials (Foreign Corrupt Practices Act Violations)
- Initial coin offerings, cryptocurrencies and crypto assets
- Other

Is this supplemental information to a previous complaint?

- Yes
- No

In your own words, describe the conduct or situation you are complaining about.

- Free Text Answer of up to 50000 character(s)

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

- Yes
- No
- Unknown

Did you suffer a loss?

- Yes
- No

When did you become aware of the conduct? (mm/dd/yyyy)

When did the conduct begin? (mm/dd/yyyy)

Is the conduct ongoing?

- Yes
- No
- Unknown

Has the individual or firm acknowledged the conduct?

- Yes
- No
- Unknown

How did you learn about the conduct? You may select more than one answer.

- 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 answer.

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

Provide details.

- Free Text Answer of up to 10000 character(s)
-

2 of 7 Who are you complaining about?

Are you complaining about a person or a firm?

- Person
- Firm

Street Address

Address (Continued)

Country

Zip / Postal Code

City

State / Province

Home Phone

Work Phone

Mobile Phone

Other Phone

Email Address

Website

If the complaint is about an entity or person that has custody or control of your investments, have you had difficulty contacting that entity or person?

- Yes
 - No
 - Unknown
-

3 of 7 Which investment products are involved?

Select the type of product involved in your complaint.

- 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 ticker symbol, if known.

Enter the product name(s), if known.

4 of 7 About you

Are you filing this tip under the SEC's whistleblower program?

- Yes
 - No
-

5 of 7 Attach Files

Fields marked with an asterisk (*) are required.

Upload any document you would like to include here. There is a maximum of 20 files that can be uploaded and each file can be no larger than 10MB. Password protected archives (.zip, .7zip) are not allowed. Please do not submit any password-protected documents.

Upload Document(s)