

TO FILE A SECURITIES COMPLAINT

THE ONLINE COMPLAINT FORM IS LOCATED AT:

<http://www.azcc.gov/securities/investor-complaints-and-reporting>

IF YOU DO NOT HAVE INTERNET ACCESS, WE CAN PROVIDE A HARD COPY.

- To Submit By Mail: Send the completed form, together with copies of supporting documents relating to your investment, to:
Complaints
Securities Division
Arizona Corporation Commission
1300 W. Washington St., 3rd Fl.
Phoenix, AZ 85007

IF YOU NEED TO SPEAK WITH THE INVESTIGATOR ON DUTY,

PLEASE CALL 602-542-0662

OR EMAIL: **SecuritiesDiv@azcc.gov**

COMPLAINT FORM

You may fill out the form on your computer, print it, and send it with copies of your relevant documents to the Securities Division.

Mail to: Complaints, Securities Division, Arizona Corporation Commission, 1300 W. Washington, 3rd Floor,
Phoenix, Arizona 85007.

Fax to: 602-594-7470

E-mail to: SecuritiesDiv@azcc.gov

Your Name: _____

Your Address: _____

City: _____ State: _____ Zip: _____

Home Phone: _____ Business Phone: _____

Cell Phone: _____ Fax: _____

E-mail Address: _____

Name of FIRM and/or PERSON complained of: _____

Address: _____

City: _____ State: _____ Zip: _____

Phone: _____

Name of Stockbroker or Salesperson: _____

Dates of investment transactions: _____

Place of transaction(s). Specify the states in which you and the salesperson were located at the time of the transaction(s).

Witnesses to the transaction(s): _____

Amount of money involved in transaction(s): _____

Did you sign any papers or documents? Yes No If yes, please attach copies of them to this complaint.

How did you first learn about the investment complained of?

Choose one

When did you first learn about the investment complained of?

Have you complained to the Company or Firm? Yes No

If yes, to whom?

When?

What was the response to your complaint to the Company or Firm?

Have you contacted other governmental or regulatory agencies? Yes No

If yes, who?

Which agency?

At what address?

Please provide the names, telephone numbers, and addresses of other known investors.

Does an attorney represent you regarding the investment complained of? Yes No

If yes, provide attorney's name and address:

Have you or other victims filed a lawsuit against anyone regarding the investment complained of? Yes No

If yes, provide name of court: _____

Case number: _____ Date case filed: _____

Attach to this complaint copies of court documents.

What were you told about the investment complained of? Which, if any, statements were false? Why do you believe the statements were false?

Did you discuss with anyone your investment objectives and the amount of risk that was acceptable to you regarding the investment complained of? Yes No

If yes, please describe specifically to whom you spoke, when, and what you said.

Are you willing to sign an affidavit or testify regarding your transaction? Yes No

If your complaint is against a dealer or salesman, may the Securities Division send a copy of your complaint to the company or individual complained of? Yes No

Declaration: I declare that the information contained in this complaint is true and accurate, to the best of my knowledge, and the information may be used to further investigate the complaint. I understand that A.R.S. section 41-1010 requires that a complainant disclose his or her name to the agency when reporting an alleged violation of the law. I understand that, pursuant to A.R.S. sections 44-2042 and 44-3300, the complainant's name is confidential unless it is made a matter of public record.

Name: _____ Date: _____

Signature:

THIS DOCUMENT IS AVAILABLE IN ALTERNATIVE FORMATS BY CONTACTING SHAYLIN A. BERNAL, EXECUTIVE ASSISTANT TO THE EXECUTIVE DIRECTOR, VOICE PHONE NUMBER 602-542-3931, E-MAIL SABERNAL@AZCC.GOV.

Reset Form

Print Form