



**COMPLETE ALL INFORMATION**

\*Required Fields

**Complainant Information**

If you wish to remain anonymous, please check here. However, we will not be able to obtain a response from the firm on your behalf.

If you are acting as an Agent for the complainant, please check here.

Name of Agent: \_\_\_\_\_

Relationship to Complainant: \_\_\_\_\_

\*Name of complainant: \_\_\_\_\_  
*First Middle (opt.) Last*

\*Mailing Address: \_\_\_\_\_

\*City: \_\_\_\_\_

\*State: \_\_\_\_\_

\*Zip/Postal Code: \_\_\_\_\_

\*Country: \_\_\_\_\_

\*Day Time Phone: \_\_\_\_\_

Business Phone: \_\_\_\_\_

E-Mail Address: \_\_\_\_\_



**Please tell us the firm you are complaining about**

\*Brokerage Firm Name: \_\_\_\_\_

Account Number: \_\_\_\_\_

Broker 1 Name: \_\_\_\_\_  
*First Middle (opt) Last*

Broker 1 Business Phone: \_\_\_\_\_

Broker 2 Name: \_\_\_\_\_  
*First Middle (opt) Last*

Broker 2 Business Phone: \_\_\_\_\_

Branch Street Address: \_\_\_\_\_

**Tell us the type of problem**

My complaint involves a problem with: \_\_\_\_\_

My complaint involves the product type: \_\_\_\_\_



**Tell us about your investment**

Security Name: \_\_\_\_\_

Transaction or Activity Date: \_\_\_\_\_

Amount in Dispute: \_\_\_\_\_

\*Complaint Summary: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

(If more space is needed for the Complaint Summary, please attach a separate sheet)

What documentation are you willing to provide to substantiate your complaint?

- Account Statement
- Advertising Material
- Cancelled Check
- Customer Agreement
- Fee Schedule/Notification
- Letter of Authorization/Power of Attorney
- Managed Account Agreement
- New Account Agreement
- Prior Correspondence
- Prospectus/Subscription Agreement
- Relevant Tax Forms, e.g., 1099
- Research Material
- Trade Confirmation
- Transfer of Account Form
- Other \_\_\_\_\_

**Please tell us what actions you have taken, if any**

\*Have you complained to the firm? \_\_\_\_\_

\*If yes, please provide the reference number, date of contact, name of contact and status/resolution:

\_\_\_\_\_

\*Have you contacted any other regulators? \_\_\_\_\_

\*If yes, who (please select all relevant regulators)?

- Commodity Futures Trading Commission (CFTC)
- National Association of Securities Dealers (NASD)
- Securities and Exchange Commission (SEC)
- Securities Investor Protection Corporation (SIPC)
- State Regulators
- Other \_\_\_\_\_

\*Have you filed an arbitration claim? \_\_\_\_\_

\*If yes, with what organization(s)?

- American Arbitration Association (AAA)
- American Stock Exchange (AMEX)
- National Association of Securities Dealers (NASD)
- New York Stock Exchange (NYSE)
- Other \_\_\_\_\_

\*If yes, please provide the reference number, date of contact, name of contact and arbitration status/resolution:

\_\_\_\_\_

\*Have you taken legal action? \_\_\_\_\_

\*If yes, please provide the reference number, date of contact, name of contact and status/resolution:

\_\_\_\_\_

*To expedite the process, please fax this document and any materials you are willing to provide to the Investor Complaints/Inquiries Department at 212-656-5790 or mail to 20 Broad St, 22nd Flr, New York, NY 10005.*