

**ALABAMA SECURITIES COMMISSION
COMPLAINT FORM**

STATE NAME AND ADDRESS OF FIRM OR PERSON COMPLAINT IS AGAINST:

Name: _____
Address: _____
City: _____ State: _____ Zip Code: _____
Phone Number: _____ Email: _____

STATE YOUR NAME AND ADDRESS:

Name: _____
Address: _____
City: _____ State: _____ Zip Code: _____
Home Phone Number: _____ Work Phone Number: _____
Email: _____

TYPE OF COMPLAINT:

Complaint against a Company or Firm

Complaint against an Individual

Other, Please Specify: _____

Date of Transaction: _____

Place of Transaction (Specify the States in which you and the salesman were located) _____

Witnesses to the Transaction: _____

State the type of investment involved (e.g. stock, note, limited partnership, etc. If you are not certain, describe on last page.) _____

- If you invested in stock or bonds, what was the name of the issuing corporation?

- If you invested in a note, who was the maker (Company or Individual) responsible for paying it?

- If you invested in a partnership, what was the name of that partnership?

- Other: _____

Amount involved in transaction: _____

Do you have and can you provide evidence of investment (front and back of checks; cashiers checks; money orders; etc.)? NO YES

Did you sign any papers or documents? NO YES (If Yes, please attach copies of them.)

How did you first learn about this investment? _____

Have you complained to the Company or Firm? NO YES (If yes, to whom?) _____

What was the response? _____

May we send a copy of your complaint to the firm or individual complained against? NO YES

Does an attorney represent you in this matter? NO YES

If YES, give Attorney's Name and Address:

Name: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Did you begin any legal action against this company? NO YES (Explain) _____

Are you willing to sign an affidavit or testify regarding your transaction with this Company?
NO YES

Specify other governmental or regulatory agencies contacted: _____

May we send a copy of your complaint to another governmental agency or regulatory body for their review or investigation? NO YES

Did you tape-record any of your conversations regarding the transaction(s)? NO YES

Names, telephone numbers and/or addresses of any other known investors:

