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:
________________________________________________________________________________________
________________________________________________________________________________________
________________________________________________________________________________________
Please explain the entire circumstances surrounding your complaint in the space provided below. It is important to include all details about the transaction, no matter how unimportant you may think they are. Please be specific in referring to any names, dates or documents. Also, if any part of the transaction occurred outside of Alabama, please indicate that fact. Remember that it is better to include too much information, rather than too little information. Be sure to describe the type of investment and any instruments you received evidencing you investment. (If additional space is needed, attach more pages)

The above is true and accurate to the best of my knowledge.

Signature: ___________________________________________ Date: __________________

Return completed form to:

Alabama Securities Commission
Enforcement Division
P.O. Box 304700
Montgomery, AL 36130-4700