ALABAMA SECURITIES COMMISSION COMPLAINT FORM

	DRESS OF FIRM	OR PERSON COMPLAINT IS AGAINST:
Address:		
City:	State:	Zip Code:
Phone Number:	E	Email:
STATE YOUR NAME A		
Name:		
Address:		
City:	State:	Zip Code:
		Work Phone Number:
Email:		
TYPE OF COMPLAINT:		
	a Company or Firm	
Complaint against Complaint against		
Other, Please Spe		
Date of Transaction:		
Place of Transaction (Spe	cify the States in w	hich you and the salesman were located)
Witnesses to the Transac	tion:	
• •		ock, note, limited partnership, etc. If you are not certain,
• If you invested in s	stock or bonds, wha	at was the name of the issuing corporation?
• If you invested in a	a note, who was the	e maker (Company or Individual) responsible for paying it?
• If you invested in a	ı partnership, what	was the name of that partnership?
	provide evidence o	of investment (front and back of checks; cashiers checks;
Did you sign any papers o	or documents? NO	YES (If Yes, please attach copies of them.)

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How did you first learn about this investment?
Have you complained to the Company or Firm? NO
What was the response?
May we send a copy of your complaint to the firm or individual complained against? NO ES
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 VES C
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 VES
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:

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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)
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: _____ Date: _____

Return completed form to:

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