INVESTOR PROTECTION UNIT

COMPLAINT FORM

RETURN THIS FORM TO:
INVESTOR PROTECTION UNIT
DELAWARE DEPARTMENT OF JUSTICE
820 N. FRENCH STREET, 5TH FLOOR
WILMINGTON, DE 19801
Phone: (302) 577-8424
Fax: (302) 577-6987
Email: investor.protection@state.de.us

FOR OFFICIAL USE:
Case Number: ___________  Investigator: ___________

Your Name: __________________________________________

Name of Person or Business Complaint is Against: __________________________________________

Your Home Address: __________________________________________

Their Address: __________________________________________

Number and Street: __________________________________________

Number and Street: __________________________________________

City: __________________________________________

City: __________________________________________

State and Zip Code: __________________________________________

State and Zip Code: __________________________________________

Phone Numbers:

Home: __________________________________________

Work: __________________________________________

Email: __________________________________________

Email: __________________________________________

CRD Number, if known: __________________________

Other Affiliated Persons/Entities: __________________________

If you are not a resident of Delaware, please specify why you are filing your complaint with the State of Delaware (NOTE: incorporating a company in Delaware is rarely enough grounds to pursue a case):

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________
INVESTMENT INFORMATION

Place of transaction(s). Please specify the state(s) in which you and the salesman were located when the transaction(s) took place.

Identify any witnesses to the transaction: ______________________________________________________

How much money did you invest: _____________________________________________________________

What was the source of your investment funds (savings, retirement account, loan, etc)? _____________

Do you have and can you provide evidence of investment (front and back of checks; cashier’s checks; money orders; bank statements; account statements; etc.)? YES NO

Please give a brief explanation of your prior investment experience.
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________

Please give a brief explanation of how you learned about this investment.
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________

What were you told your money would be used for?
_____________________________________________________________________________________
_____________________________________________________________________________________

Were you promised a specific return on your investment?______________________________________

What were you told about the risks of this investment?
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________

Did you receive a offering document, prospectus, or other information describing the investment?__________________________

Did the seller give you information that later turned out to be untrue? If yes, please explain:
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________

Did you sign any papers or documents in connection with the investment(s)? YES NO
If Yes, please attach copies of them.
Have you complained to the Company or Firm? YES NO
If yes, to whom?
_____________________________________________________________________________________

What was the response?
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________

Have you made a complaint with any 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 in this matter? YES NO
If yes, provide attorney’s name and address:
_____________________________________________________________________________________
_____________________________________________________________________________________

Have you or other victims filed a lawsuit against anyone regarding this investment? YES NO
If yes, provide name of court: __________________________________________________________
Case number: _____________________________ Date case filed: ______________________________
Attach copies of court documents to this complaint.

Please PRINT or TYPE your complaint in FULL detail. You may add additional sheets if necessary.
Narrative continued, if necessary:

Attach COPIES, not originals, of all related documents, including advertisements, contracts, receipts, bills, cancelled checks, written agreements, letters or emails.

READ THE FOLLOWING CAREFULLY BEFORE SIGNING BELOW:

- I have attached copies of all papers that relate to this complaint.
- I understand that in order to successfully handle this complaint, the Investor Protection Unit may need to send this complaint to the person or firm that I have complained about.

YOU MUST CHECK ONE OF THE FOLLOWING:

_____ You have my permission to send this complaint to the person or business I have complained.

_____ You DO NOT have my permission to send this complaint to the person or business I have complained.

The information contained in this complaint is true to the best of my knowledge.

_______________________________________   ____________________
Signature        Date

Please be advised:
- The Delaware Department of Justice is prohibited by law from giving you legal advice, legal opinions, or acting as your private attorney.
- You may have a private right of action that must be acted upon within certain time limits; filing this complaint with the Delaware Department of Justice will not stop those time limits from running.

Therefore, you should consult with a private attorney to discuss your legal rights and remedies.