



***Michael Watson***  
SECRETARY OF STATE

## INVESTOR COMPLAINT FORM

### DIRECTIONS:

The information you provide on this form is important in enabling the Securities Division to investigate your complaint. **Note that the Division cannot guarantee monetary recovery on your behalf.**

Please furnish specific and detailed information, answer all questions which are applicable to your situation, and be clear and complete in your answers. Failure to provide all relevant information may delay the processing of your complaint.

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### I. INVESTOR INFORMATION

Full Name \_\_\_\_\_

Address \_\_\_\_\_ County \_\_\_\_\_

City/State/Zip \_\_\_\_\_ Work Phone \_\_\_\_\_

Occupation \_\_\_\_\_ Home Phone \_\_\_\_\_

Cell Phone \_\_\_\_\_ Email \_\_\_\_\_

### II. FACTS AND CIRCUMSTANCES

1. Against whom are you filing this complaint? Please provide name, address, telephone number, email address, website, website address, etc.

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2. Date and means of initial contact (E.g., newspaper ad, mail, telephone solicitation, referral, etc.). Who made the initial contact?

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3. State the full name of the person who sold the investment to you.

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4. Other names associated with the person who sold the investment to you, such as a brokerage firm, company, or other principals or associates, etc. Please provide names, addresses and telephone numbers.

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5. The following information relates to the actual investment you made. Please provide complete factual data.

a. Name of Investment \_\_\_\_\_

b. Type of Investment (E.g., stocks, bonds, limited partnership interests, joint venture, etc.)

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c. Date of Investment \_\_\_\_\_

d. Number of Shares or Interests Purchased \_\_\_\_\_

e. Price per Share/Total Purchase Price \_\_\_\_\_

f. Where did this transaction take place? Who was present?

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g. How did you pay for this investment (E.g., cash, check, money order, wire transfer, etc.)?

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6. What were you told that made you decide to invest, such as, the type of profits you might receive, how risky or safe the investment would be, information about the future value of your investment, etc.? Who told you this?

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7. What were you told about how the company was going to use your funds?

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8. Did you make the company/salesperson aware of your financial situation, investment objectives, and/or your risk tolerance? If so, what was said, to whom, and when?

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9. How frequently were you in contact with the company/your salesperson? With whom were you in contact and what did you discuss?

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10. Were you encouraged to invest more money in the same or similar investment? If so, what was said to you, by whom, and when?

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11. Specifically, describe your complaint:

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12. Have you calculated or evaluated your losses? \_\_\_\_\_

If so, did you have someone assist you with the evaluation, such as an attorney or CPA? \_\_\_\_\_

If not, how did you evaluate any losses, and what was the result of this evaluation?

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13. How would you like your complaint to be resolved? Please be specific.

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14. Describe any contacts you have had with the company/your salesperson concerning your complaint. Please forward copies of any correspondence and other documents between you and the company/your salesperson.

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15. Have you filed a complaint with any other agency regarding this matter? If so, please furnish the name of the agency, when filed, and status if known.

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16. Have you contacted a private attorney about this matter? If so, please include the attorney's name, address, and telephone.

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17. If you are aware of anyone else who has made a similar investment, please provide names and addresses.

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18. Have you ever invested in this type of product or investment before? If so, please describe your past experiences.

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19. Please include any additional relevant information not previously mentioned.

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### III. OTHER INFORMATION

Documentary evidence is especially important. Please forward copies, not originals, of the front and back of your canceled checks, confirmations, statements, correspondence, certificates, prospectuses, and any other written materials pertaining to your complaint. If you need more space, please feel free to attach additional pages.

Mail your documents and completed complaint form to:

Securities Division  
Secretary of State's Office  
P.O. Box 136  
Jackson, MS 39205-0136

### IV. NOTICE

Your complaint will remain confidential pursuant to Mississippi Securities Act § 75-71-607 (2016 & Supp. 2018). It is unlawful for any person to make or cause to be made, in any document filed with the Secretary of State or in any proceeding, any statement which is, at the time and in the light of the circumstances under which it is made, false or misleading in any material respect. Miss. Code Ann. § 75-71-505 (2016 & Supp. 2018).

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Signature

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Date