

COMPLAINT FORM

PROCEDURE FOR FILING A COMPLAINT

(Please read and detach)

The Securities Division protects the public against fraud in the offers and sales of securities; unlicensed or dishonest broker-dealers or investment advisory firms or their employees; and, unregistered or fraudulent securities. If you feel you have been a victim of, or have information concerning, an unlawful investment program, please complete the attached complaint form and mail it to us.

SOME TIPS ON PREPARING A WRITTEN COMPLAINT

1. Fill out the information as completely as possible. Remember that your complaint should describe the event or practice which you believe was a possible violation. Please take a minute to organize your information so that the details are clearly and completely stated. Try to present the events in the order in which they occurred using dates whenever possible.
2. Before you begin it might help you to make a list of the things you want to say.
3. Please type or write legibly.
4. If you can, please enclose legible copies of documents such as notes, contracts, promotional information, agreements, cancelled checks (front and back), advertisements, letters or other documents that may be central to your complaint. If your copies are numerous please send only the most important ones.
6. Please COMPLETE Pages 2 & 3 of the complaint form and return it to our office.

MAIL OR DELIVER your complaint to:

The Colorado Division of Securities
1560 Broadway Street, Suite 900
Denver, CO 80202

Upon receipt a member of our staff will begin a review of your complaint as soon as possible depending on the circumstances of the complaint and resources available, and we will be in contact with you as soon as possible. You should be aware that any inquiry that results from your complaint will be done on a confidential basis. This is done to protect the integrity of the investigation and to protect the personal privacy of persons with respect to whom unfounded charges may be made.

The Securities Division does not have the authority to provide you legal advice, legal opinions or act as your private attorney. Therefore, you may wish to contact a private attorney to discuss your legal rights and remedies. If your complaint involves a firm that is registered with the Securities and Exchange Commission and/or is a member of the Financial Industry Regulatory Authority (FINRA) you may wish to contact those agencies directly. If you reside in a state other than Colorado you may also wish to contact your own state securities agency.

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STATE <u>YOUR</u> NAME, ADDRESS AND DATE OF BIRTH:	NAME & ADDRESS OF THE <u>FIRM</u> and/or <u>PERSON</u> YOU ARE COMPLAINING OR INQUIRING ABOUT:
DATE OF BIRTH: Phone: (Res.): (Bus.):	Phone:

1. Date you were first contacted:
2. Date of investment (if applicable):
3. What did you buy or what were you solicited to buy? (i.e., stocks, debentures, limited partnerships etc.)
4. Amount invested:
5. Did you sign any documents? YES NO (Attach copies of each if possible)
6. Name of person who sold the investment to you:
7. How many other investors are involved in this investment?
8. Was the product or service advertised? YES NO
If YES, state how advertised and date
9. Have you complained to the firm? YES NO
If YES, to whom?
What was their response?
10. When did you last hear from the firm? The salesperson?
11. What other agencies have you contacted to file a complaint?
12. Have you brought any legal action involving this investment? YES NO

(PLEASE PROVIDE AN EXPLANATION OF YOUR COMPLAINT ON THE NEXT PAGE)

Please provide a detailed explanation of your complaint below. Include names, addresses, dates, amounts, etc. (You may attach additional pages if necessary):