

FINRA Investor Complaint Form



We strongly encourage investors to file their complaint via the online FINRA Investor Complaint Center at <http://www.finra.org/complaint>. Filing online is the quickest way for us to receive your complaint.

If you prefer to file your complaint offline, you may complete this printable complaint form and fax or mail it to us at the address noted at the end of the form. Please enter your complaint information directly into this form using your computer. Completing the form by hand may delay the processing of your complaint. When completed, please print this form and fax or mail it to us at the address noted on the form.

Please do not send duplicate copies of your complaint by mail or fax if you have submitted your complaint online. Sending multiple copies will only delay the time it takes us to respond to your complaint.

Step 1: Tell Us About the Firm or Individual You Have a Complaint Against

* = Required Fields

Brokerage Firm Name: *

Salesperson or Firm Representative:

First Name:

Middle Name:

Last Name:

Address of the Office with which you do Business: *

City:

State/Province:

Zip Code:

☐ Check this box if you do not use a salesperson or your salesperson was not involved in the conduct that is the subject of your complaint.

Business Phone:

Step 2: Tell Us About Yourself

* = Required Fields

Anonymous Complaint: *

All complaint information will be treated in confidence to the fullest extent possible. FINRA, however, cannot guarantee that during the course of a related investigation or possible prosecution of the matter that the source of the complaint will not become known. Unless you provide an email address or telephone number, checking 'Yes' will prevent us from following up with you to gather additional details.

* ☐ No ☐ Yes - I wish to make an anonymous complaint.

Your Name: *

Prefix: First Name: Middle Name: Last Name:

Mailing Address: *

Street Address:

City: State/Province: Zip Code:

Country:

Work Phone: * Home Phone: *

Enter only one email address.

Fax Number: Email Address: *

Are you active, or have recently been active, in the United States Military? * ☐ No ☐ Yes

Please select one of the following age ranges: *

- Under 18 ☐
- 18 - 39 ☐
- 40 - 54 ☐
- 55 - 64 ☐
- 65 - 84 ☐
- 85 or older ☐
- I do not wish to provide. ☐

Step 3: Tell Us About Your Investment

* = Required Fields

Security Type: *

Security Symbol:

Security Name:

Dates of Transaction or Activity: *

(e.g. 1/15/2006)

From Date:

To Date:

Tell us about your complaint:—What type of problem(s) are you reporting:

Primary Problem: *

Secondary Problem:

Did you receive a prospectus? * ☐ No ☐ Yes ☐ Don't know

Date Received:

Amount in dispute: * \$

Type of Account—If your complaint involves a retirement account, please select the type(s) of account:

- ☐ **Defined Contribution Plan:** An employer sponsored retirement plan wherein a certain amount or percentage of money is set aside by the employer and/or the employee for the benefit of the employee (e.g. 401(k), 403(b)).
- ☐ **Defined Benefit Plan:** An employer sponsored retirement plan such as a pension plan that offers a specific monthly benefit upon retirement. The amount is determined based on the plan's formula which would consider employee salary and tenure.
- ☐ **Individual Retirement Account (IRA):** A self-directed retirement plan established by an individual; includes Traditional IRAs and Roth IRAs.
- ☐ **Keogh Plan:** A retirement plan established by self-employed individuals for themselves and their employees. It can be a defined-benefit or a defined-contribution plan.
- ☐ **Simplified Employee Pension (SEP):** A SEP plan is a type of IRA account that is established by an employer or self-employed individual.
- ☐ **SIMPLE Plan:** A SIMPLE plan (Savings Incentive Match Plan for Employees of Small Employers) is another type of retirement plan that is offered by small employers to their employees or used by self-employed individuals.

Complaint Summary *

Please provide a brief summary of your complaint. Please limit your description to a few clear sentences within the space available below. *If required, complete details will be gathered later in the complaint process.*

What documentation are you able to provide regarding your complaint?

- | | |
|--|---|
| <input type="checkbox"/> Trade Confirmation | <input type="checkbox"/> Advertising or Marketing Materials |
| <input type="checkbox"/> Monthly Account Statement | <input type="checkbox"/> Notes of Conversations with Firm |
| <input type="checkbox"/> Canceled Checks | <input type="checkbox"/> Subscription Agreement |
| <input type="checkbox"/> Correspondence to and from Firm | <input type="checkbox"/> Other <input type="text"/> |

Step 4: What actions have you taken?

Firm Contact—Have you complained to the firm? ☐ Yes ☐ No

If yes, please enter reference number (if available), date of contact, name of contact, and status or resolution within the space available below. *If required, complete details will be gathered later in the complaint process.*

Other Regulatory Contact—Have you contacted any other regulators? ☐ Yes ☐ No If yes, who? (Please select below)

- ☐ Securities and Exchange Commission (SEC)
☐ Commodity Futures Trading Commission (CFTC)
☐ State Regulator. Please list states:

- ☐ New York Stock Exchange (NYSE)
☐ Securities Investor Protection Corporation (SIPC)
☐ Others (please list):

Arbitration—Have you filed an arbitration claim? ☐ Yes ☐ No If yes, with what Organization(s)? (Please select below)

- ☐ Financial Industry Regulatory Authority (FINRA)
☐ American Arbitration Association

- ☐ American Stock Exchange
☐ Others (please list):

If yes, please enter reference number (if available), date of contact, name of contact, and status or resolution within the space available below. *If required, complete details will be gathered later in the complaint process.*

Legal Action Taken—Have you taken legal action? ☐ Yes ☐ No

If yes, please enter reference number (if available), date of contact, name of contact, and status or resolution within the space available below. *If required, complete details will be gathered later in the complaint process.*

Step 5: Send This Completed Form to FINRA

Please print the completed form and mail or fax it to:

FINRA Investor Complaint Center

9509 Key West Avenue

Rockville, MD 20850

Fax: (866) 397-3290

Please do not send duplicate copies of your complaint by mail or fax if you have submitted your complaint online. Sending multiple copies will only delay the time it takes us to respond to your complaint.

In the meantime, we encourage you to read our Complaint Program brochure on our website at <http://www.finra.org/complaint/InvestorBrochure> to learn about how we will handle your complaint and what other steps you may want to take, including arbitration and mediation, to recover any money or securities.

Please be aware that filing a complaint through the Investor Complaint Center is not the same as submitting an arbitration claim online. To start an arbitration or mediation, please visit the Arbitration & Mediation section of FINRA's website at <http://www.finra.org/ArbitrationAndMediation/FINRADisputeResolution/>. For more information about arbitration and mediation, please visit <http://www.finra.org/ArbitrationAndMediation/index.htm>.