



INVESTOR COMPLAINT

Return to:
Department of Commerce and Insurance
SECURITIES DIVISION
500 James Robertson Parkway, Suite 680
Nashville, Tennessee 37243-0575

Received in office:

Your Contact Information

Your Name _____

Address _____

City _____ State _____ Zip _____

Home Telephone _____ Email _____

Work Telephone _____ Cell _____

Best Time to Contact You _____ at Home Work Cell Email

Whom is Your Complaint Against?

Name of Person _____ Title _____

Name of Company _____

Address _____

City _____ State _____ Zip _____

Telephone _____ Website _____

Investment Product

Check all that apply.

Stock Mutual Fund Oil & Gas Interest Options/Warrants

Bond Promissory Note Partnership Unit Viaticals

Other _____

Date Invested _____ Amount Invested _____

Number of Shares/Units _____ Price per Share/Unit _____

Investment Information

Did you receive a prospectus or sales literature before you invested?

Yes _____ No _____

Did you sign a contract to make the investment?

Yes _____ No _____

Please describe how you first learned about this investment opportunity.

What specific information were you given that caused you to invest?

Were any statements of fact made before your investment that you now believe were false?

Yes _____ No _____ If yes, please explain on page 3.

Have you learned any important facts since your investment that were not disclosed to you before your investment which would have changed your decision to invest had you known those facts?

Yes _____ No _____ If yes, please explain on page 3.

Did the person who sold you this investment ask you any questions about your financial condition, investment objectives, investment experience, or risk tolerance?

Yes _____ No _____

How was the money you invested to be used?

What representations were made about the risk involved in the investment?

Tennessee Securities Division

So, what happens next?

1. Complete and sign the enclosed complaint form and return it to the Securities Division. Annuities are not securities under Tennessee law. Complaints involving annuities should be filed with the Insurance Division.
2. Attach copies of any account statements, confirmations, or sales literature to your complaint before you mail it.
3. You will be mailed a letter acknowledging the receipt of your complaint and given the name of the investigator handling your complaint.
4. Your complaint will be reviewed by an investigator to determine whether the complaint provides probable cause to believe that there has been a violation of the Tennessee Securities Act of 1980 or the Tennessee Securities Rules.
5. You will be contacted by the investigator if your complaint requires further information or further action.
6. You will be notified when your complaint is closed and given the reason for the closure.

Important Reminders:

You have civil remedies under the Tennessee Securities Act of 1980; however, these remedies are governed by statutes of limitations that may prevent you from recovering your losses if you do not act in a timely manner. You will need to consult an attorney for further advice.

Any action the Securities Division takes on your complaint will be to enforce the Securities Act and Rules, not to recover investor funds. The Division does not legally represent individual interests and cannot compel anyone to return your money.