

**ALABAMA SECURITIES COMMISSION  
COMPLAINT FORM**

**STATE NAME AND ADDRESS OF FIRM OR PERSON COMPLAINT IS AGAINST:**

Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_  
Phone Number: \_\_\_\_\_ Email: \_\_\_\_\_

**STATE YOUR NAME AND ADDRESS:**

Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_  
Home Phone Number: \_\_\_\_\_ Work Phone Number: \_\_\_\_\_  
Email: \_\_\_\_\_

**TYPE OF COMPLAINT:**

Complaint against a Company or Firm

Complaint against an Individual

Other, Please Specify: \_\_\_\_\_  
\_\_\_\_\_

Date of Transaction: \_\_\_\_\_

Place of Transaction (Specify the States in which you and the salesman were located) \_\_\_\_\_  
\_\_\_\_\_

Witnesses to the Transaction: \_\_\_\_\_  
\_\_\_\_\_

State the type of investment involved (e.g. stock, note, limited partnership, etc. If you are not certain, describe on last page.) \_\_\_\_\_  
\_\_\_\_\_

- If you invested in stock or bonds, what was the name of the issuing corporation?  
\_\_\_\_\_
- If you invested in a note, who was the maker (Company or Individual) responsible for paying it?  
\_\_\_\_\_
- If you invested in a partnership, what was the name of that partnership?  
\_\_\_\_\_
- Other: \_\_\_\_\_  
\_\_\_\_\_

Amount involved in transaction: \_\_\_\_\_

Do you have and can you provide evidence of investment (front and back of checks; cashiers checks; money orders; etc.)? NO  YES

Did you sign any papers or documents? NO  YES  (If Yes, please attach copies of them.)

How did you first learn about this investment? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Have you complained to the Company or Firm? NO  YES  (If yes, to whom?)  
\_\_\_\_\_  
\_\_\_\_\_

What was the response? \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

May we send a copy of your complaint to the firm or individual complained against? NO  YES

Does an attorney represent you in this matter? NO  YES

If YES, give Attorney's Name and Address:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Did you begin any legal action against this company? NO  YES  (Explain) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Are you willing to sign an affidavit or testify regarding your transaction with this Company?  
NO  YES

Specify other governmental or regulatory agencies contacted: \_\_\_\_\_  
\_\_\_\_\_

May we send a copy of your complaint to another governmental agency or regulatory body for their review or investigation? NO  YES

Did you tape-record any of your conversations regarding the transaction(s)? NO  YES

Names, telephone numbers and/or addresses of any other known investors:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

