

**OFFICE OF THE ATTORNEY GENERAL
SECURITIES DIVISION
200 ST. PAUL PLACE
20TH FLOOR
BALTIMORE, MARYLAND 21202-2020
TELEPHONE: (410) 576-6360**

COMPLAINT

The purpose of this complaint form is to provide the Maryland Division of Securities with information necessary for the commencement of a preliminary investigation of your allegations. Thus, it is important for you to furnish as much detailed information as possible. All information you provide will be deemed confidential, and neither the contents nor the source of this complaint will be publicly disclosed or available for public inspection unless formal proceedings are instituted.

It is important that you attach copies of all written materials (including checks, contracts, advertisements, pamphlets, and letters or correspondence) that may relate to your complaint.

The Division appreciates your interest and cooperation.

(PLEASE TYPE OR PRINT)

INFORMATION ABOUT PURCHASER OR COMPLAINANT (YOU)

Mr.
Mrs.
Ms.
Dr. _____

Last Name	First	Middle	Today's Date
_____			(____)_____
Home Address	City	State	Zip
_____			Telephone Number
_____			(____)_____
Business Address	City	State	Zip
_____			Telephone Number
_____			(____)_____
Trade or Occupation	Approx. Age	Single	Married
_____		Widowed	Divorced
_____		_____	

Are you willing to be interviewed by an investigator from this office?

_____ Yes _____ No

Are you willing to be a witness if formal proceedings are commenced by the Securities Commissioner?

_____ Yes _____ No

INFORMATION ABOUT SUBJECT OR SELLER (If unknown, please indicate)

In what company, corporation, or association did you invest:

Its Name	Address	Telephone No.
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List persons who were involved in this transaction. (Please use separate pages or page 6 to set forth any other available information about these persons.)

Last Name	First	Middle	Position	Telephone No
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Address	City	State	Zip
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Last Name	First	Middle	Position	Telephone No
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Address	City	State	Zip
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How did you learn of the investment? (Check more than one if necessary and enclose copies of pamphlets or advertisements if possible).

_____ Personal visit
When? _____
Where? _____
Whom? _____
Who else was present? _____

_____ Telephone call
Date? _____
From whom? _____
At what address/location was the call received? _____

_____ Advertising pamphlet/sales letter
Mailed to you at what address/location? _____

Copy of pamphlet/sales letter enclosed? _____
Copy of envelope attached? _____

_____ Newspaper
Name of paper? _____
Date? _____
Copy of advertisement enclosed? _____

_____ Radio
Name of station? _____
Date? _____

_____ Television
Name of station? _____
Date? _____

_____ Group sales presentation
Date of presentation? _____
Where? _____
Others present? _____

_____ Other (Please specify) _____

List others who were present when the offers or sales were made to you. (Use page 6 if necessary).

Name	Address	Telephone	Relationship to Complainant (Purchaser) or Seller
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What did you purchase or invest in? (Examples: common stock, debenture, limited partnership interest, investment contract, fractional interest in an oil and gas lease)

How many units or shares did you purchase? _____

Total amount of your investment or loan? \$_____ Cash \$_____ Check

Other (Please identify) _____ (Enclose copy of both sides of

check)

How was the amount to be paid: (lump sum, installments, etc.) _____

Who received the payment from you? _____
When? _____
Where? _____

By Mail? _____

On what dates were the units or shares purchased? _____

Did you sign any type of contract? _____ If so, please enclose a copy.
Where was it signed (city/county)? _____
Who else was present? _____

How were your securities delivered? _____
If in person:
By whom? _____
When? _____
Where? _____

If by mail, please attach envelope and any cover letter.

Describe any prior business or personal relationships/dealings with either the company or the salesperson who contacted you: _____

Please explain in detail your previous investment experience (type, date, amount): _____

List any oral representations or promises made to you by the salesperson: _____

What, if any, statements made to you were untrue? _____

Who else do you know that invested with the company, corporation, or association? _____

Have you notified or filed a complaint with any of the following agencies?

☐ U.S. Securities & Exchange Commission	☐ Sheriff's Office
☐ Maryland Attorney General	☐ Local Police Department
☐ Other Federal Agency or Office	☐ Better Business Bureau
☐ County or District Attorney	☐ Local Newspaper

Have you complained to subject or seller? ☐ Yes ☐ No
If yes, what offer of adjustment or explanation was made? _____

Have you or any other victims filed a lawsuit in any court? If yes, please provide the name of the case/county/case number/ and provide a copy of the court documents. _____

Please provide a narrative of the transactions which gave rise to your complaint. (Use separate sheets or back of this page if necessary).

What would you consider to be a satisfactory solution?

Signature (Please sign in ink)

Date

PLEASE RETURN THIS COMPLETED COMPLAINT AND ALL ATTACHMENTS TO:

**OFFICE OF THE ATTORNEY GENERAL
MARYLAND DIVISION OF SECURITIES
200 St. Paul Place
20th Floor
Baltimore, Maryland 21202-2020
Telephone: (410) 576-6360**

ADDITIONAL INFORMATION

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