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NORTH CAROLINA SECURITIES DIVISION
COMPLAINT FORM

Mail to: **NORTH CAROLINA SECURITIES DIVISION**
P.O. BOX 29622
RALEIGH, N.C. 27626-0622

Or fax to: **(919) 821-0818**

You may use this form to send a complaint about a securities transaction to the Securities Division. **Please answer each question, marking as "N/A" those "Not Applicable"** to your complaint. What we have asked for is the information that has in past cases proved helpful in investigating a violation of the securities laws. If you need additional space in order to give a full and accurate answer, please attach extra sheets and number each sheet to correspond with the question to which it relates.

1. Who is the person and/or associated firm against whom this complaint is filed?

Name of the Salesperson(s) and/or Firm(s):

Address:

City: State: ZIP:

Telephone Number:

Position or Title of the Salesperson(s):

Name(s) & Telephone Number(s) of Other Persons Involved (if applicable):

2. What is your name and address?

Please choose one: Name:

Home Address:

City: State: ZIP:

Work Address:

City: State: ZIP:

Home Phone: Work Phone: Cell Phone:

E-mail Address(es) (separate with commas):

May we provide case updates, investor alerts, or investor education materials to you by e-mail? Yes No

Please tell us a little about yourself:

Your age: Highest Level Education:

What kind of work do you do?

Would you describe yourself as a first-time investor, a sophisticated and experienced investor , or something in between?

3. What was the date of the transaction about which you are complaining?

4. What state were you in when the transaction took place?

5. What state was the salesman in when the transaction took place?

6. List any witnesses to the transaction. Please include their telephone numbers.

7. What kind of investment was involved? (For example, was it stock, bonds, promissory notes, a partnership interest, or a limited liability company interest? If none of these terms describes your investment, please describe it as accurately as you can.)

8. If the investment was in a stock or bond, what was the name of the company that issued it?

If the investment was in a partnership or a limited liability company, what was the name of the partnership or company?

If the investment was in a note, who was supposed to be responsible for paying it?

9. What was the amount you invested?

If you have made more than one payment, what were the amounts and dates of the payments? (If multiple dates, please type on a single line and separate with commas.)

To whom and how did you make your payments?

10. Can you provide evidence of your investments? **(For example, the front and back of checks, money orders, or cashier's checks; receipts from the seller; agreements; letters; copies of e-mails, etc.) If "yes," please attach copies to this complaint. Do not send originals.** ◯ Yes ◯ No

11. Did you sign any papers or documents? **If "yes," please attach copies to this complaint. Do not send originals.** ◯ Yes ◯ No

12. Did you receive a prospectus or any written sales materials? ◯ Yes ◯ No
If "yes,", please attach copies to this complaint. Do not send originals.

13. How did you first learn of this investment?

14. Who contacted you about this investment?

15. Did you know the salesperson or have dealings with the company prior to making this investment? ◯ Yes ◯ No

If "yes," please explain your past history with this salesperson or firm.

16. What was your understanding about how your money was to be used?

17. What were you told about the investment before you invested?

18. What untrue statements, if any, were made to you?

19. Did the seller omit to tell you information that would have changed your decision to invest? If so, what was that information?

20. List the names, addresses, and phone numbers of any other investors that are known to you.

21. Have you complained to the firm or person who sold you this investment? ◯ Yes ◯ No

If "yes," when and to whom? Please provide contact information for the person or firm.

22. What response did you get?

23. May we send a copy of this complaint to the firm or person you have complained about? ◯ Yes ◯ No

24. Does an attorney represent you in this matter? ◯ Yes ◯ No

If "yes," please provide the name, full mailing address and phone number of your attorney.

25. Have you started any legal action against the persons who sold you this investment? ◯ Yes ◯ No

If "yes," please give details.

26. Have you contacted any other governmental or regulatory agencies about this investment? ◯ Yes ◯ No

If "yes," please list the other agencies you have contacted.

27. May we send a copy of this complaint to another agency for its review or investigation? ◯ Yes ◯ No

28. Are you willing to testify or sign an affidavit about your dealings with the persons who sold you this investment? ◯ Yes ◯ No

29. Did you record any of your conversations relating to this investment? ◯ Yes ◯ No

30. Your description of the transaction. This section is where you may tell us your story in full, including any details necessary for us to clearly understand what you have set forth above in this complaint. Please describe how you came to make this investment; how it was sold it to you or who persuaded you to purchase it; what statements and promises were made to you by the sellers; and what has caused you to file this complaint. If needed, attach additional sheets. Be as specific as you can about names, dates, addresses and documents. Do not assume that any fact is irrelevant or unimportant. If any part of the transaction took place outside of North Carolina, be sure to tell us that. If you have documents relating to the transaction, send us copies --do not send us the originals; instead keep the originals for your own records.

THE INFORMATION I HAVE STATED IN THIS COMPLAINT IS TRUE AND ACCURATE TO THE BEST OF MY KNOWLEDGE.

Your Name/Signature: Date:

Print Form Submit by Email

You are NOT able to save a copy of your completed form. You may click the "Print Form" button above to print a copy of this form for your records and/or to mail it (along with copies of any documents that support your complaint), to the address below. If you do not have supporting documentation, you may click the "Submit by Email" button above to file this complaint electronically to the Securities Division.

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ENFORCEMENT SECTION
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