

State of New Hampshire
Department of State
Bureau of Securities Regulation

Mailing Address

State House, Room 204
Concord New Hampshire 03301-4989

Location

State House Annex
25 Capitol St.
Concord, New Hampshire 03301
TTY/TDD Relay (603) 225-4033

COMPLAINT FORM

We appreciate your interest and will proceed with a preliminary investigation as soon as this form is returned, along with any documentary evidence that you may have.

Please remember to attach a copy of any written materials (i.e. checks, contracts, advertisements, letters, etc.) that may relate to your complaint

I. Personal Information

_____ LAST NAME	_____ FIRST	_____ MIDDLE	_____ CURRENT DATE	
_____ HOME ADDRESS	_____ CITY	_____ STATE	_____ ZIP	_____ PHONE NO.
_____ BUSINESS ADDRESS	_____ CITY	_____ STATE	_____ ZIP	_____ PHONE NO.
_____ TRADE/OCCUPATION	_____ DATE OF BIRTH	_____ MARITAL STATUS		

II. Basis of Complaint

1. With what company, corporation, or association did you invest

_____ NAME	_____ PHONE NO.		
_____ ADDRESS	_____ CITY	_____ STATE	_____ ZIP

2. List person(s) involved in this transaction:

_____ LAST NAME	_____ FIRST	_____ MIDDLE	_____ POSITION	_____ PHONE NO.
_____ ADDRESS	_____ CITY	_____ STATE	_____ ZIP	
_____ LAST NAME	_____ FIRST	_____ MIDDLE	_____ POSITION	_____ PHONE NO.
_____ ADDRESS	_____ CITY	_____ STATE	_____ ZIP	

3. How did you learn of the investment? (check more than one, if necessary)

- ☐ Personal Visit ☐ Telephone Call ☐ Sales Letter ☐ Radio
- ☐ Advertisement ☐ Newspaper ☐ Television ☐ Phone Book
- ☐ Presentation ☐ Other (please explain) _____

4. In what did you purchase or invest (e.g. common stock, promissory note, mutual fund, limited partnership interest, T-bond, investment contract, fractional interest in an oil and gas lease)?

5. How many units did you purchase?

6. What was the total amount of your investment? \$ _____

6a. Please state whether payment was made with cash, check, or charge and enclose a copy of your receipt.

7. On what date was the investment made? _____

8. Did you sign any contract or receive any document to evidence your investment? If yes, please enclose a copy. ☐ Yes ☐ No

9. List any oral representations made to you by the agent/salesperson.

10. Did you receive an offering circular or prospectus? If yes, please enclose a copy. ☐ Yes ☐ No

11. Was any other person(s) present when you invested or were solicited to invest ? If yes, please list ☐ Yes ☐ No

Name	Address	Phone No.
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Name	Address	Phone No.
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12. Do you know of any other person who invested in the company, corporation, or association? ☐ Yes ☐ No If yes, please list

Name	Address	Phone No.
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Name	Address	Phone No.
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13. Have you notified or filed a complaint with any of the following?

- ☐ Private Attorney
- ☐ Consumer Protection Division
- ☐ Better Business Bureau
- ☐ Local Police Department
- ☐ U.S. Securities and Exchange Commission (SEC)
- ☐ Local Newspaper
- ☐ U.S. Attorney's Office
- ☐ Federal Bureau of Investigation
- ☐ National Association of Securities Dealers (NASD)

14. Brief summarization of allegations and complaint:

[illegible]

(Please be sure to attach all documentation received in connection to the transaction.)

I hereby certify that the above information is true and correct to the best of my knowledge.

Signature

Date _____