

**Louisiana Office of Financial Institutions
Securities Division
COMPLAINT FORM**

NAME AND ADDRESS OF FIRM OR PERSON COMPLAINT IS AGAINST:

Name: _____
Address: _____
City: _____ State: _____ Zip Code: _____
Phone Number: _____ Email: _____

YOUR NAME AND ADDRESS:

Name: _____
Address: _____
City: _____ State: _____ Zip Code: _____
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 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 a bond, 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: _____

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?

YES NO

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 review or investigation? NO YES

Did you tape-record any of your conversations regarding the transaction(s)?

NO YES

Recovery of Losses

Because the focus of an Office of Financial Institutions (OFI) securities investigation is regulatory in nature, and is designed to determine compliance with Louisiana's securities laws and regulation, you are encouraged to consider other means if you are seeking to recover money or securities. It is very important for you to understand that OFI staff is investigating your complaint from a regulatory perspective and with the protection of all investors in mind.

There can be no assurances that any action taken by OFI will result in a payment or return of funds or securities to you even where formal enforcement actions are taken and sanctions imposed. Relying on the outcome of OFI's investigation may close other avenues of redress if you wait too long to proceed.

OFI staff cannot provide legal advice to you in connection with your complaint. Therefore, you may want to consult with an attorney if you are considering filing an arbitration, mediation, or private civil action.

The above is true and accurate to the best of my knowledge.

Signature: _____ Date: _____

Return completed form to:

Louisiana Office of Financial Institutions
Securities Division
8660 United Plaza Blvd., 2nd Floor
Baton Rouge, LA 70809-7024

OR

Fax to (225) 925-4511