



Texas State Securities Board
208 E. 10th Street, 5th Floor
Austin, Texas 78701-2407
www.ssb.state.tx.us

Texas State Securities Board Investor Complaint Form

COMPLAINT PROCEDURES

How to submit a complaint:

Complaints pertaining to a registered securities dealer, agent, investment adviser or investment adviser representative must be submitted to the Texas State Securities Board (TSSB) in writing. Complaints relating to fraud or other violations of the securities laws by an entity or person that is not registered with the TSSB may be submitted in writing or by telephone.

NOTE: If you do not wish to submit a complaint, but would like to provide information regarding potential violations of securities laws, you may contact the TSSB offices. Contact information for the TSSB offices is listed on the agency website.

To submit a complaint in writing, you can submit the attached complaint form along with copies of any documents related to your complaint. The complaint forms and documents may be submitted by mail to:

ATTN: Complaint Processing
Texas State Securities Board
208 E. 10th Street, Suite 610
Austin, TX 78701-2407

What we do with your complaint:

Complaints submitted to the TSSB are reviewed to determine whether investigation and possible enforcement action may be warranted. **Please do not consider a complaint to the TSSB as a substitute for pursuing private legal remedies.** Consult with private counsel regarding any monetary relief you are seeking. Enforcement action taken by the TSSB may include an administrative fine; an administrative proceeding to suspend or revoke a registration; a civil lawsuit for injunction or receivership; or a referral of the matter to criminal prosecutors.

Generally, information provided to the TSSB in connection with a complaint is confidential and may not be disclosed by the agency except under order of court or as otherwise specified in Section 28 of the Texas Securities Act. To this end, agency staff may not be able to discuss with you measures taken by the agency with respect to your complaint unless such measures are part of the public record. However, the agency may send a copy of the complaint, or selected portions thereof, to a registered firm or individual who is the subject of a complaint.

With respect to complaints against registered firms or individuals, the TSSB will provide a status update, at least quarterly, to each person filing a complaint and each registered firm or individual who is the subject of a complaint. Neither notification of the complaint nor its status will be provided if such notice would jeopardize the ability of the agency to gather evidence relevant to the complaint.

Please complete the following form to submit a complaint:

Investor Information			
Mr.	Mrs.	Ms.	Name:
Street Address:			
City:		State:	Zip:
Home Phone:	Business Phone:		Cell Phone:
E-mail:		Preferred method to contact you: <i>(if any)</i> Home Phone Business Phone Cell Phone E-mail	
Best time to call: <i>(optional)</i>			
_____ Mon. _____ Thurs. _____ Tues. _____ Fri. _____ Wed.			
Age: <i>(optional)</i> Under 18 18-39 40-54 55-64 65-80 Over 80			
Information on Organization(s) and/or Person(s) Complaint Is Against <i>(attach separate sheet if more space needed)</i>			
Name of Company or Person:			
Street Address:			
City:		State:	Zip:
Phone:	E-mail:	Website:	
Name of Company or Person:			
Street Address:			
City:		State:	Zip:
Phone:	E-mail:	Website:	
Salespersons or other representatives you dealt with: <i>(If not listed above. Also, see note in complaint procedures.)</i>			
Name(s) and contact information (phone, e-mail, etc.):			

Investment Details

Describe the investment(s) sold to you. Provide full names for all investments listed.

When did the transaction(s)
or activity take place:

Amount(s) invested:

Manner in which payment was made: Check Wire Transfer

Cashier's check/Money order Other _____

How did you learn of the
investment:

Advertisement

Internet

Mail

Telephone

Seminar

In-person meeting

E-mail

Other:

- Did you know the person who contacted you prior to your investment?

Yes

No

- Did you receive any documents regarding the investment prior to your investment? ***If yes, provide copies.***

Yes

No

- Did you sign any documents prior to the investment? ***If yes, provide copies.***

Yes

No

What, if anything, did you discuss with the subject(s) of the complaint about your financial status, investment objectives, and risk tolerance?

What were you told about the investment and what were your expectations?

What disclosures were made to you about the risks of the investment(s)?

Were any guarantees given to you? If yes, provide details.

Investment Details (cont'd)

Do you believe that you were told inaccurate/false information about the investment or not told material information? If yes, provide details.

Summary of Complaint

You may use the space below to summarize your complaint or include any additional information that you believe is relevant to your complaint. Attach additional sheets if necessary.

Additional Information

Provide the names and current contact information (i.e. address, e-mail, phone number) of other individuals who may have invested or may have further knowledge about the investment.

Have you complained to the company or individual? Yes No

If yes, please provide the following information:

- Did you complain in writing? Yes (If yes, provide copy.) No
- Person(s) contacted:
- Date(s) of contact:

Have you contacted any other regulator or governmental agency? Yes No

If yes, who? (Select all that apply.)

Securities and Exchange Commission (SEC)

Other:

Financial Industry Regulatory Authority (FINRA)

Other state securities regulators:

Please read before signing: By signing this complaint form I acknowledge that (1) I have been furnished with the complaint procedures (on page one of this form) and (2) if the complaint is against a registered firm or person, the TSSB may send this complaint form, or portions thereof, to the subject(s) of the complaint.

Investor:

Signature

Date

*If the person submitting this complaint is **NOT** the investor identified on this form, complete this box.*

Name: _____

Address: _____

Telephone Number: _____ E-mail: _____

Relationship to investor: _____

Signature

Date