



Investor Protection Bureau

New York State Office of the Attorney General
28 Liberty Street
New York, New York 10005
(212) 416-8222 (phone)
(212) 416-8816 (fax)

COMPLAINT FORM

Consumer Hotline For Hearing Impaired
1 (800) 771-7755
TDD (800) 788-9898
ag.ny.gov

Instructions for filing a complaint:

1. Please type or print clearly
2. Please complete the entire form
3. Please enclose copies of any documents relating to this complaint

Return To:

Investor Protection Bureau

New York State Office of the Attorney General
28 Liberty Street
New York, New York 10005

Your Contact Details

First Name

Last Name

Street Address

City/Town

State

Zip

(ex:12345 or 12345-1234)

County

Home Phone

(ex:999-999-9999 or 999-999-9999 x9999)

Business Phone

(ex:999-999-9999 or 999-999-9999 x9999)

Mobile Phone

(ex:999-999-9999)

Email Address

Details Regarding the Company And/Or Individual You Are Complaining About

Company Name *

Street Address

Street Address2

City/Town

State

Zip

(ex:12345 or 12345-1234)

County

Phone

Salesperson's Name

(ex:999-999-9999 or 999-999-9999 x9999)

Specifics Regarding Your Complaint

Date of Transaction

Nature of Investment

Total Amount of Investment

Did You Receive the Security You Purchased?

Yes

No

Fully Explain the Nature of Your Complaint in the Box Below.
Alternatively, You May Upload a Written Description of Your
Complaint as an Attachment to this Form.

What Relief Are You Seeking?

Actions Taken To Date

Have You Complained to the Company? Yes No

If Yes, provide the following details:

Date of Complaint

What was the company's response, if any?

Name and Title(s) of Individual(s) to whom you complained

Have You Complained to the Individual? Yes No

If Yes, provide the following details:

Date of Complaint

What was the individual's response, if any?

Name and Title(s) of Individual(s) to whom you complained

Do you have an attorney? Yes No

Is There Any Court Action Pending? Yes No

In submitting this form, complainant understands that (please check each box below): _____

- The Attorney General is not my private attorney, but represents the public in enforcing laws designed to protect the public from misleading or unlawful business practices. My filing this complaint does not mean that the Attorney General has initiated (or will initiate) a lawsuit or proceeding on my behalf.
- The Attorney General cannot give me legal advice or represent me in court. If I have any questions concerning my legal rights or responsibilities, I should contact a private attorney.
- The Attorney General may send a copy of my complaint and any documents I provide to the person or business about whom I am complaining and I authorize that person or business to release information concerning my complaint to the Attorney General.
- The Attorney General works with other state, local and federal government agencies to investigate complaints and coordinate law enforcement and may also share my complaint with them. In addition, the Attorney General may use information from my complaint in legal proceedings to establish violations of law.
- Any false statements made in this complaint are punishable as a Class A Misdemeanor under Section 175.30 and/or Section 210.45 of the Penal Law.

By signing or typing my full name below, I certify that the above complaint is true and accurate to the best of my knowledge and that any documents attached are true and accurate copies of the originals.

Signature

Date