OFFICE OF THE ATTORNEY GENERAL LETITIA JAMES STATE OF NEW YORK DEPARTMENT OF LAW



BUREAU OF INTERNET AND TECHNOLOGY / INVESTOR PROTECTION BUREAU 28 LIBERTY STREET NEW YORK, NY 10005 PHONE: (212) 416-8433 FAX: (212) 416-8369 http://www.ag.n y.gov

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Name of Online Brokerage Service ("OBS")			Internet address	
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Type of account (e.g., stock, mutual fund, IRA, options)			Total Amount of Investment \$	
Date of Transaction(s)	Time	Stock Name or Symbol	φ # of Shares	Nature of Transaction(s)
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Was product or service advo If yes, describe the nature o solicitation, standard mailin	f the adver	rtisement (e.g., newspaper/1		levision commercial, web posting, e-mail r mailing.
Date(s) you complained to the OBS:			Person Contacted	Job Title
() By mail ()By e-mail () By telephone () In person () Other Nature of Response (Attach copies of any correspondence)				Date of Response
Has matter been submitted t	to another	agency or attorney? () Yes	s () No If yes, give name	e and address:
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 () Inability to access real-time stock quotes () Excessive delays in updating account information () Inability to access customer service () Unauthorized changes of account information 	 () Excessive delays in order processing and execution () Inability to access timely account status information () Inadequate customer service () Inaccurate postings to account () Failure to provide best execution price
() Orders executed beyond purchasing power of account() Inadequate research available online	() Other:
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