



# SECURITIES COMPLAINT FORM

The Office of the Montana State Auditor, Commissioner of Securities and Insurance is a criminal justice agency that investigates and prosecutes securities fraud.

File a complaint if you suspect your investment broker, dealer, or firm is committing fraud.

### INSTRUCTIONS:

Adobe Acrobat Reader can be used to input and save data into the form. Download the latest version of Adobe Reader for free, go to <http://get.adobe.com/reader/>.

### WAYS TO SUBMIT THIS FORM:

Once the form is complete, please e-mail the saved form as a pdf attachment to [csi.securities@mt.gov](mailto:csi.securities@mt.gov). You may also mail the form or fax it to the address below:

Securities Department  
Office of the Montana State Auditor  
840 Helena Ave.  
Helena, MT 59601  
Fax: 406.444.5558

Date: \_\_\_\_\_

Consumer

Professional

### INVESTOR INFORMATION

Name of Investor: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

Telephone: \_\_\_\_\_ Email: \_\_\_\_\_

Name of person completing this form, if different than investor: \_\_\_\_\_

Relationship to investor: \_\_\_\_\_

### COMPLAINT AGAINST

Name of Business: \_\_\_\_\_

Name of person you dealt with: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_

Telephone: \_\_\_\_\_

## YOUR COMPLAINT

Date you were first contacted: \_\_\_\_\_

Amount invested: \_\_\_\_\_ Date Invested: \_\_\_\_\_

How were you contacted? Phone In Person Internet Other: \_\_\_\_\_

Who offered and/or sold you this investment? \_\_\_\_\_

Did you initiate contact or were you contacted by firm/person? \_\_\_\_\_

What did you buy or what were you offered?

Stock Bond Fund Limited Partnership Membership Units Certificate of Deposit

Viatical Settlement Limited Partnership Variable Annuity

Other: \_\_\_\_\_

How did you pay for the investment?

Personal Check Cashier's Check Wire Transfer Cash Securities

Other: \_\_\_\_\_

Did you sign any document?

Yes No

If yes, what did you sign? \_\_\_\_\_

***Attach copies if available.***

Did you receive any materials describing the investment?

Yes No

If yes, describe the materials: \_\_\_\_\_

***Attach copies if available.***

Please provide a detailed explanation of your complaint. Include names, addresses, dates, and amounts. Be sure to describe what you were told about the investment and transaction: Description of Company, Type of Business, Risks of Investment, Guarantees of Profit from Investment, Names of Individuals Involved in Company.